

S
352.63213
A3gic



STATE DOCUMENTS COLLECTION

JAN 28 2002

MONTANA STATE LIBRARY
1515 E. 6th AVE
HELENA, MONTANA 59601

A Guide to Integrating Competencies into Montana's Human Resource Programs



MONTANA STATE LIBRARY



3 0864 0015 2483 7

FOREWORD

Douglas
Bussell
Chairman
Montana
Human
Resource
Commission

Montana's Human Resource Commission is unique in that it is the only state agency whose primary mission is to assist local governments in their efforts to manage their human resources. We believe that our success is based on our ability to provide leadership, technical assistance, and training to local governments in their efforts to manage their human resources.

It provides a valuable resource for local governments in their efforts to manage their human resources. It is designed to assist management committees in their efforts to develop and implement management plans that will lead to the success of their organizations.

This guide is designed to help you understand how to manage your organization's human resources. It is intended to be a practical guide that can be used by anyone who wants to succeed in their efforts to manage their organization's human resources.

The State Personnel Board has been instrumental in helping local governments develop their human resource management programs and policies.

You can find more information about the State Personnel Board at www.state.mt.us/pb.

Scott Dukker, M.A., Director
Department Administration
May, 2002

in the new "Technological Change, Economic Development, and People" era. Local governments must be innovative in using and applying new planning innovation, risk-taking, and new thinking to meet the challenges demands we alone to meet the challenges of the future.

A GUIDE TO INTEGRATING COMPETENCIES INTO MONTANA'S HUMAN RESOURCE PROGRAMS



1999
Updated 2002

Digitized by the Internet Archive
in 2010 with funding from
Montana State Library

<http://www.archive.org/details/guidetointegrati1999mont>

FOREWORD

Demands on your work unit grow all the time. Technologies change. Budgets change. Service delivery changes. Laws and rules change. People change. Your organization feels pressure to stay responsive, efficient and effective in the fast-changing times. It takes sound planning innovation, risk-taking, and plain, hard work to keep up with growing demands, let alone to get ahead of them. The future promises more of the same.

If the above seems familiar, you are definitely a manager in state government. Some state managers asked for greater authority in certain personnel decisions and less bureaucracy related to job classification and pay. They asked for ways to pay for individual employee skills and performance, and for human resource systems based on desired skills and performance standards. They wanted the means to customize human resource tools to fit organizational goals. If you share this view, you will find this guide useful.

It provides a method to integrate competencies into your current human resource programs such as recruitment, selection, performance management, compensation and training. By focusing on competencies this guide links employee growth and business strategy to organizational success, and ultimately improve service to the public.

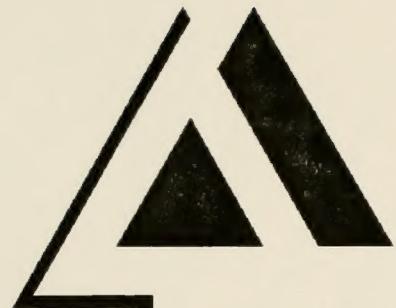
This guide will change and grow as we complete new sections and gain experience. You will receive these new sections and updates as they are completed to include with the first three sections in your guide.

The State Personnel Division appreciates the ongoing efforts of managers and human resource personnel throughout state government who helped develop these tools to share with all who strive toward better human resource systems and decisions.

You should direct questions related to the content or development to the State Personnel Division.

Scott Darkenwald, Director
Department of Administration
May, 2002

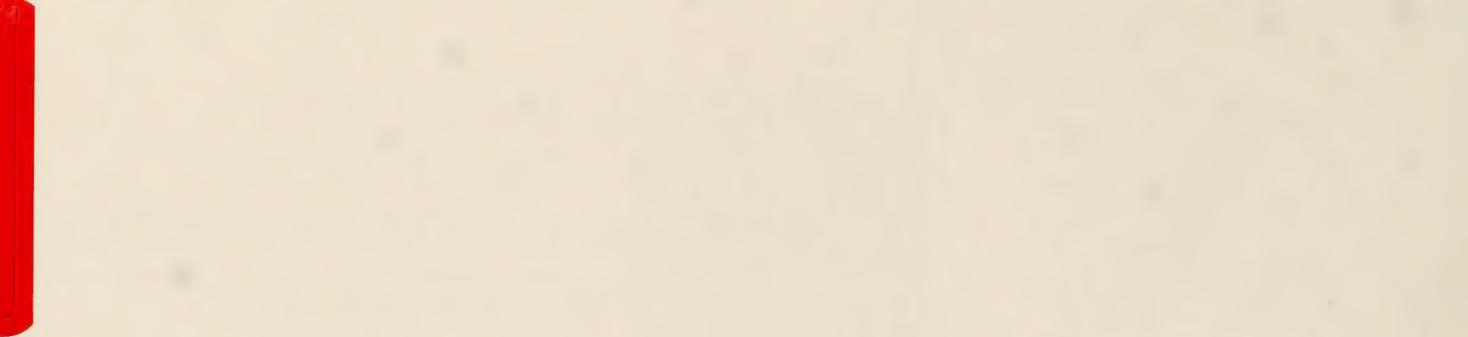
COMPENSATION
PLANNING
Revised May, 2002



A GUIDE
TO
INTEGRATING
COMPETENCIES
INTO
MONTANA'S
HUMAN
RESOURCE
PROGRAMS



1 A, B	A. MANAGERS' RESOURCES B. LABOR RELATIONS
2	READINESS AND ORIENTATION
3	CREATING COMPETENCY MODELS
4	STATEWIDE MODEL
5	PERFORMANCE MANAGEMENT
6	COMPETENCY-BASED STAFFING
7	
8	
9	COMPENSATION PLANNING Revised May, 2002
10	





A GUIDE TO INTEGRATING COMPETENCIES INTO MONTANA'S HUMAN RESOURCE PROGRAMS



MANAGERS' RESOURCES and LABOR RELATIONS ISSUES 2000

THE STATE OF MONTANA COMPETENCY GUIDE

MANAGERS' INTRODUCTION

Managers surveyed in 1996 developed the following list of measures to improve human resource management and increase their control and flexibility in making personnel decisions:

- More control and less hassle. Less direction from outside and more of the decision making processes kept within the agency.
- Flexibility to pay for competency and performance. A means to attract and keep the most valuable employees.
- Emphasis on the market when setting wage scales.
- More authority to manage personnel services budgets within individual agencies.

A 1997 legislative mandate led to Montana's Human Resource Competency Project. This allows the State Personnel division to develop and carry out an alternative classification and pay system. This system will allow the Division to define pay based on competencies, accomplishments, the labor market, and other situations. As with all change, the project will raise questions for managers and human resource professionals at all levels. This introduction to the State of Montana Competency Guide answers some of these questions and gives managers a point to begin competency-based human resource management.

What is the Montana Human Resource Competency Project?

Montana's Human Resource Competency Project helps state agencies by updating management tools to reflect best practices. These tools include job classification and pay, employee recruitment and selection, training, and performance appraisal. Project goals, adopted by the Department of Administration, include:

- Customizing competency and performance criteria.
- Greater pay flexibility based on job content, competency, market salary data, and situational pay, with less emphasis on position classification.
- Improved access to electronic information for decision making and human resource management. The new state software, PeopleSoft, supports competency-based human resources, and has the potential to lighten this workload.
- Training and structure for managers.
- Cooperating with unions to accomplish changes.

The following pilot projects, coordinated by the Department of Administration, have begun to meet the immediate needs for several agencies and occupations.

- Treatment Specialists and Resident Care Aides at the Montana Chemical Dependency Center
- Health Care Facility Surveyors in the Department of Public Health and Human Services
- Brand Inspectors in the Department of Livestock
- Information Technology in MSU, Office of Public Instruction, Department of Transportation and Department of Administration
- Law Enforcement
- Commerce Managers
- Department of Revenue
- Board of Investments

This guide embodies the best practices learned through these pilots.

Why would a manager want to get involved in the Montana Competency Project?

Quite simply, the project will give managers better human resource tools to define jobs, recruit and select employees, and conduct performance appraisals. Defining jobs in relationship to the knowledge, skills, abilities and behaviors that lead to successful job performance gives the manager elements to use in selection and hiring. Used in employee performance evaluation, these later can form the basis for developing competency pay. By improving employee selection and performance, managers can improve already high-quality service to Montana citizens.

When managers match an employee's competencies with those needed for a job, the resulting fit improves job performance and job satisfaction. Competencies also help managers plan employee career development and make better use of training dollars by identifying training needs. Competencies create more effective teams by member selection that balances the competencies needed for a project.

The current classification and pay system emphasizes the job and length of employment. No consistent method exists to pay employees for outstanding performance. The Competency Project shifts the emphasis toward people-based criteria. After classification of a position, managers will have a systematic way to reward employees based on elements that contribute to agency success. Blending competency, market, situational, and strategic components into the pay system can promote employee career planning and retention of top performing employees.

What does competency mean?

The State of Montana Competency Guide defines competencies as sets of **measurable** and **observable** knowledge, skills, abilities and behaviors that contribute to success in a job. Competencies predict success, and drive organizational and individual performance.

Identifying and measuring competencies and behavior in the workplace is not new. Industrial psychologists have studied behavior and its relationship to performance for decades. Managers have intuitively used competencies in hiring and promoting decisions without formally incorporating them into human resource management processes.

What is the Statewide Competency Model?

In 1997, managers, supervisors and employees in more than twenty-five occupations spanning all grade levels met in focus groups. These groups described the characteristics of superior performers. A project research and development team analyzed this information to find patterns of competencies among these occupations. The resulting Statewide Competency Model describes six competency categories that represent the most common and critical behavioral competencies found in top-performing state employees.

- Commitment
- Communication
- Initiative and Accountability
- Influence
- Personal Effectiveness
- Thinking and Problem Solving

Within each broad category, the model identifies and defines more specific competencies and the behaviors that make them observable and measurable. This describes how top performers display competency.

Managers can use data from the model to find new ways to assign pay, recruit and select staff and connect human resource systems. Each manager will have new tools for developing performance assessment instruments and training initiatives for employee growth, and pay structures to attract and retain top employees.

How will this affect job classification?

Important project goals included:

- Reducing emphasis on position classification in setting pay
- Decreasing effort and paperwork to change job duties and pay.

The State Personnel Division proposed changing the current seven-factor system to an evaluation method using one factor. A new broadbanding structure will reduce the current 25 grades to nine levels. These changes will substantially alter administration of the classification system.

It will likely reduce the length and decrease the difficulty of writing position descriptions. However, they will still require a good description of job content to make decisions. In addition, the proposed changes will reduce the effort and time needed to document a classification action.

How will the competency project change pay calculation?

Managers asked for greater pay flexibility based on employee characteristics. Additional means to set employee pay such as competency pay, situational pay, market adjustments, and strategic pay will increase their options. The classification of job content will still determine the greatest percentage of total pay.

New options will provide a system to pay for other ways that employees help agencies succeed. The **competency** component supplies a way to recognize and reward individual employees. **Situational** pay recognizes unique work conditions. **Market** comparisons allow pay adjustments for entire occupations to remain competitive. A manager with urgent business needs can use the **strategic** component to adjust pay to recruit for a critical, vital, or key position.

The system allows agencies to select only the pay options of value to the agency. Most of a job's defined pay will remain linked to duties and complexity of work. Agencies may choose which new pay options to add to this base. Some agencies may choose to incorporate competencies into other human resource systems, and not attach them to pay. In any case, each agency has a new set of tools, rather than a new set of rules.

When will competencies affect pay? What will change?

Agencies and work units involved in pilot projects may attach pay to competencies beginning July 1, 1999. Agencies not associated with a pilot project may join the effort and work toward competency-based pay. The system will change gradually to form the necessary support processes for competency-based pay and human

resource operations. Time lines will vary from organization to organization, based on what is needed to lay the foundation for pay system changes.

For those groups under union contracts, collective bargaining will precede any pay changes. Contract agreements will need to define how, when, or if competency and other variables will affect pay. Successfully integrating pay variables in these cases will depend on early, cooperative involvement of union representatives.

Some demonstration projects started by looking at market considerations rather than competency. They have chosen to exercise the new market pay option first. Others may choose to look at situational factors, unique or particularly demanding work conditions, and explore this option. Individual managers or agencies can choose to use any, all, or none of the new variables.

Initiating new pay components requires much groundwork. Any pay model designed must maintain fairness and equity. This includes a method of measuring the effects of a competency-based system on the work unit and on individual employee performance. To be successful, a pay system based on a competency model will depend on well-designed performance appraisals linked to work unit goals.

How will agencies fund these changes?

Agencies that want to develop and pay for competencies must fund costs beyond the biannual pay increase. The State Personnel Division has received the authority to allow agencies participating in pilot projects to classify and pay identified employees differently. Employees who participate in pilot projects will not receive less than the pay raises approved by the Legislature for all employees.

How will the competency project affect recruitment and selection?

Traditional selection practices, especially interviews, often pose hypothetical questions to applicants. The *correct* response may not reflect what they did or would have done in practice. Competency-based selection practices focus on what an applicant has done in the past. Managers can zero in on specific competencies critical to success. Applicants can relate specific examples to show effective or successful past performance.

When recruiting, managers can advertise for more than duties, education, and years of experience. They can seek applicants who focus on customer service, or show initiative and professionalism.

Competency-based recruitment and selection determine whether an applicant has the necessary capabilities and characteristics and the knowledge, skills and abilities

to do the job. Managers look for clear evidence that an applicant has shown these capabilities and characteristics successfully in past situations.

The sections titled "Manager's Guide to Competency-Based Interviewing" and "Competency-Based Questions" provide more information.

How will these changes affect performance appraisal?

Current policy from the Montana Operations Manual requires employee performance appraisals on a "regularly recurring basis". The policy leaves the content and system of appraisals to individual agencies. Designing performance appraisal tools challenges managers to work with employees, creating valid, accepted measures of performance. Involving employees gives them a better understanding and ownership of the result. The competency project can provide common ground for employees and managers.

Managers should expect to spend time building competency models. Data from the models supplies the basis for revising or creating a performance appraisal system. From the competency model, the manager lists the major duties and necessary competencies to measure and defines a strategy for monitoring each element during the review period.

Successful realization of this and other competency-based systems relies on line supervisors and lead workers as well. As the direct link between management and employees, they provide the data and feed back vital to this process. An agency thinking about a competency-based human resource system must understand that it will take more supervisory time.

The appraisal period usually covers a specific period needed to complete defined work objectives assigned to individuals or employee teams. If a link between the performance appraisal and pay exists, management must define a method that will reliably compare employee performance with specific criteria. These expectations become part of the performance evaluation.

Developing a successful appraisal system means communicating about performance often enough to help employees grow more competent in their jobs. Besides work unit and occupational responsibilities, some organizations identify and apply core responsibilities and competencies to all employees in the organization. Examples of these include behaviors that describe team work and customer service. The process will take commitment and dedication from management, supervisors, employees and human resource personnel.

Information in the "Creating Competency Models" and "Performance Management" sections of this guide outlines steps for developing competency-based performance management.

What does it take to get started? Who needs to be contacted? When can a manager start?

Managers should contact agency personnel officers and management teams to discuss their interest in beginning a competency project to gain support. The interested manager needs to define ways such a program will contribute to success or resolve problems. As allies, these people can provide further information and ideas. Research shows that successful systems usually have a high-level champion in the organization who supports competency system design efforts and can clarify the agency vision and mission. Sufficient support must exist within the organization for a successful competency project.

The bibliography lists some suggested readings. Connecting the competency project directly to a goal or a strategic agency need helps employees understand the link between their work, competencies, and organizational performance. The Professional Development Center has planned training. Initially they will offer a "Managers' Overview of Competency"; other training will occur as the process continues.

A manager might want to conduct an employee climate survey at the beginning of the competency project. Working with the personnel officer can help document problem areas in the organization to address before beginning a competency project. Such a survey can also identify particular strengths about the workplace that will contribute to success. The section "Agency Readiness and Orientation" supplies more information on this process, with a survey example.

Background work can begin anytime. Preparation now will greatly increase the chances for success in building a competency project. For current information on best practices in competency system design, contact your agency personnel or human resource officer. Additionally, if there is no personnel officer, the State Personnel Division can provide assistance.

LABOR RELATIONS ISSUES

Employee Involvement and Bargaining Obligations

This section provides basic information about building new pay systems in unionized workplaces. In any workplace, whether unionized or not, employee involvement is important to successful development, implementation and acceptance of a new pay system. In fact, most experts agree that a new pay system works best when employees have a substantial role in its development, even if it might be a less effective system from a technical standpoint than could have been developed without extensive employee involvement (*The New Pay – Linking Employee and Organizational Performance*; Schuster and Zingheim; Jossey-Bass Publishers; 1992).

The long-term benefits of employee involvement, such as employee buy-in and ownership in the system, outweigh the risks of excluding employees from the process. In a unionized workplace, management has a legal obligation to bargain collectively with the union over components of the new classification and pay system. This form of employee involvement requires management's representatives and labor's representatives to negotiate in good faith with a focus on reaching mutual agreement. The Legislature and governor granted agencies authority to use the alternative classification and pay system on the condition that system developments take place in consultation with unions, and that any new pay standards be subject to collective bargaining.

State law provides the following guidance on collective bargaining, classification and pay issues:

- Management will classify jobs (§39-31-303 MCA).
- Management will consult with unions prior to any changes in classification that affect pay grades or pay bands (§2-18-203 MCA).
- Employees can appeal their job classification (§2-18-203 MCA).
- Management will negotiate with unions in good faith with respect to wages, hours, fringe benefits and other conditions (§39-31-305 MCA).
- Implementation of demonstration projects in the alternative classification and pay system is negotiable with the union (§2-18-303 MCA).

The implementation and application of virtually any pay system change that vitally affects unionized employees must be negotiated between the employees' and employer's bargaining representatives. For example, the range of pay from minimum to maximum wage levels and market pay rates for jobs in a unionized workplace are negotiable through collective bargaining. Other examples include implementation of new pay components, such as competency pay or market pay or situational pay. In short, even in non-union workplaces, employees have collective bargaining rights under certain circumstances. This section includes information on

bargaining considerations in non-union workplaces. However, the majority of the section is intended for practical use in a unionized environment.

The representative of the governor and agency management in collective bargaining with unions is the Labor Relations Bureau in the State Personnel Division, Department of Administration. Managers and human resource officers who have questions or ideas about pay initiatives in unionized workplaces should contact their labor relations representative in the bureau.

Unions as Partners

Unions have been willing partners in pilot and demonstration projects, exploring alternative classification and pay. The majority of employees in the executive branch of state government (about 65 percent) are unionized. The collective bargaining process provides for management's team to meet and confer with the union's team over matters of pay in efforts to reach agreement on what the new system will look like and how it will work. Major public employee unions supported and helped pass the legislation that gave state agencies new authority to explore alternative classification and pay systems, including the broadband pay structure, competency-based pay, market-based pay and other pay concepts. Further evidence of union support is the fact that the vast majority of actual pay results achieved in pilot and demonstration projects, including competency-based pay, occurred in workplaces that are unionized.

Pay Considerations in Unionized Workplaces

Unions have supported new pay opportunities and been partners in pay demonstration projects, but there is no definitive or universal union position with regard to each and every pay project or proposal. This is normal, as unions form their positions based on the diverse needs and desires of employees in the different bargaining units they represent. It's common and expected that a union could support a certain pay idea for one bargaining unit, and reject a similar idea for another bargaining unit, because employee desire will vary from unit to unit and from agency to agency. In light of such potential variations, the American Compensation Association (ACA) still is able to provide some valuable guidance of a general nature for negotiating new pay systems. In a journal article titled "Alternative Rewards in Unionized Environments," the ACA advises:

"One important factor connected to the business environment is the presence or absence of a union. According to collective bargaining laws, if a union represents a work force, then management must bargain collectively with union officials over wages (financial rewards, as well as benefits and base pay), hours and working conditions...."

Management must carefully design reward systems that are likely to be acceptable to a union or unions that are present in the organization. Understanding how union members view alternative rewards and how collective bargaining laws operate is necessary to design, administer and use alternative reward strategies to improve organizational effectiveness. This understanding also helps management keep the reward system from being a source of grievances and/or labor actions....

In the absence of an acceptable reward system, a union may refuse to allow a reward system other than one based on seniority in the organization....

When performance assessments are seen as fair, union acceptance of the reward plan is more likely than when appraisal systems are seen as unfair. When performance assessments are seen as objective, union acceptance of the reward plan is more likely than when appraisal systems are seen as subjective. If union members believe that the procedures used to determine and support increases are fair, they will be more likely to consider the system fair....

In designing and implementing reward systems, attention must not only be given to the strategic needs of the business but also to the goals of union members as well. In the absence of union acceptance, a labor agreement may not be reached in the collective bargaining process or, if reached, it may not be ratified by the rank-and-file union members.”

Some of these concepts have already been put to work in pilot and demonstration pay projects in Montana state government. For example, in one pilot project in a unionized workplace, management initially desired a pay bonus to be awarded to employees who exceed a satisfactory level of demonstrated competencies. The union supported the competency pay link for employees who exceed expectations, but wanted a reward as well for those employees who meet expected competency standards. Labor and management negotiated a mutually acceptable solution for rewarding employees who meet expected competency standards with one level of pay, and rewarding employees who exceed standards with a different level of pay. Another example from another pilot project involves the union's concern about quality assurance in employee performance appraisals, given that competency pay raises are linked to the appraisals. Labor and management agreed to certain assurances for employees, such as an informal resolution process to address significant differences over performance appraisals. Another assurance was that if the appraisal process involves multi-rater input from people other than the supervisor and employee, such as peers or customers, the employee could select half the external reviewers with management selecting the other half. These are examples where the benefits of employee buy-in and ownership were worth the

effort of opening the system development to employee involvement and collective bargaining.

How to Start a Project in a Unionized Workplace

A typical project in the alternative classification and pay system generally starts with at least a couple assumptions. One assumption is that management has an interest in alternative pay methods, such as competency-based pay, or market-based pay, or other methods available in the broad band pay system. The other assumption is that an agency's top leadership supports management's interest in alternative pay methods. Approaches for initiating a project may vary, but one constant in the unionized workplace is the legal obligation to bargain with the employees' exclusive representative over proposed pay changes.

At the point management is interested in proposing or exploring new pay options in a unionized workplace, the agency should contact its labor relations representative in the Labor Relations Bureau, Department of Administration. The labor relations representative will work with the agency's human resource staff and managers to help develop a management proposal and a bargaining plan. Labor relations staff will contact the union representative at the appropriate time and help coordinate the necessary labor-management communications. Again, approaches may vary on a case-by-case basis depending on the scope of the project and the number of employees involved.

In some demonstration projects, the union and management developed, through collective bargaining, every component of the new system. These mutual labor-management efforts included the initial building of the competency model, construction of the performance appraisal tool, as well as the resulting application of the competency pay link. In other projects, generally where time lines were shorter and greater numbers of employees were involved, management developed the competency model and the performance appraisal tool as a management proposal for collective bargaining over pay and promotion opportunities. Generally, extensive employee involvement in the development stage seems to pay off in the form of smoother negotiations and better employee buy-in at the implementation stage. Any efficiency that might be perceived or associated with minimal employee involvement in the early design stage could be offset by protracted or contentious negotiations when management eventually submits its proposed system to the union. Employees and unions will have difficulty buying into a proposed system if they had no role in its development. Different approaches have different costs and benefits to be weighed in analyzing the technical aspects of the future pay system and in determining a productive bargaining strategy.

Experts seem to agree that involving employees with their union representatives in the early design and implementation process helps them accept the alternative pay system and eases the agency's transition to a new pay program. In response to a

survey conducted by the American Compensation Association, about one third of organizations that were reforming their pay systems felt that employee participation in the design process was a large factor in the success of the program. A majority of the organizations felt that employee participation in the ongoing administration of the program was crucial to its success.

Bargaining Considerations in Non-union Workplaces

In a non-union workplace, many non-supervisory and non-managerial employees who are not in collective bargaining units still may be covered by collective bargaining laws and entitled to certain bargaining rights. The Montana Board of Personnel Appeals uses case law of the federal courts and precedent of the National Labor Relations Board in interpreting and enforcing Montana's collective bargaining statute. In the well-publicized *Electromation* case, the National Labor Relations Board (NLRB) found an employer guilty of an unfair labor practice in a non-union environment when the employer established employee committees to discuss mandatory subjects of bargaining. The Board determined the employer unlawfully dominated the committees by selecting the size, structure, topics, procedure and number of employee committees. In other words, the Board held that the committees constituted a labor organization, because they were created to address issues that were mandatory subjects of bargaining. The Board found that the employer's domination of the committees created an employer-dominated union, which is prohibited under collective bargaining laws. The Montana Board of Personnel Appeals holds public employers to standards similar to those of the NLRB because of similarities between the state and federal bargaining laws. Therefore, an agency that elects to include non-union employees on pilot project or demonstration project committees runs a legal risk if the committees deal with mandatory subjects of bargaining and if agency management dictates the form, content, agenda and membership of the employee committees. This is not to say that employee involvement should be discouraged. Management should encourage and promote employee involvement throughout the project development. There are ways to foster and promote healthy employee involvement while mitigating risks associated with an *Electromation*-type situation. For more information or help with analyzing a general or specific situation, please contact the Labor Relations Bureau.

Questions and Answers

What aspects of pay are negotiable in a unionized workplace? All aspects of pay are negotiable. Pay ranges for each job, including market rates, will be determined through collective bargaining. Additionally, the selection and application of all the pay components available in the broad band system are negotiable.

How can my agency start a project toward competency-based pay or any of the other pay opportunities in the alternative system? If management is interested in pay changes in a unionized environment, contact your labor relations representative in the Labor Relations Bureau (444-3871). Depending on management's particular goals or interests, union involvement may be necessary early in the process. The labor relations staff will help management analyze the statutory bargaining obligations and develop an effective plan for future progress.

What type of issues does management have to take to the union? Management has a legal obligation to negotiate in good faith over "wages, hours, fringe benefits, and other conditions of employment." This means management may not unilaterally implement changes in pay, but rather, must bargain the proposed changes with the union.

Understanding how collective bargaining laws operate is necessary to design, administer and use alternative reward strategies to improve organizational effectiveness. How do collective bargaining laws operate? In unionized workplaces, employees have union representatives authorized as the exclusive legal agent representing employees on matters of wages, hours, fringe benefits and other conditions of employment. Pay is a mandatory subject of bargaining. Collective bargaining laws require management's labor relations representatives and the union's representatives to meet at reasonable times and negotiate in good faith over pay in efforts to reach agreement. Both parties may submit proposals and counterproposals. Neither party is required to agree to the other party's proposal or to make a concession, but both parties have a mutual interest in reaching agreement. Both parties are prohibited from committing certain statutory unfair labor practices. The Montana Board of Personnel Appeals enforces this law.

Do unions categorically oppose pay that's tied to employee performance? No. Unions have been supportive of several competency-based efforts. The majority of actual pay results achieved in the state's pilot and demonstration projects, including competency-based pay, have occurred in unionized workplaces. Nevertheless, unions will base their positions on the collective desire of each bargaining unit. If a majority of employees in a particular bargaining unit are reluctant to pursue certain pay changes, the union's position on pay issues for that unit is likely to reflect the majority sentiment.

SOURCES FOR MANAGERS

ANNOTATED BIBLIOGRAPHY

Aligning Total Human Resources Processes Through Competency-Based Broadbanding. Rahbar-Daniels, Dana, William M. Mercer, Inc. ACA News. November/December, 1998.

Discussion of emerging systems that align HR processes to business strategy, challenges for competency-based structures, and balancing individual competency with team processes.

Competence at Work: Models for Superior Performance. Spencer, Lyle M., Jr. and Signe M. John Wiley & Sons, Inc. Publishing. 1993.

In-depth book that summarizes 20 years of research gleaned from 286 studies using the McClelland/McBer job competence assessment (JCA) methodology; describes in detail how to conduct JCA studies; describes "state of the art" human resource management applications of JCA research: recruitment, assessment, selection, succession planning, career pathing, performance management, training and development, competency-based pay, and integrated human resource information systems; and suggests future directions and applications for competency research given a variety of human resource management issues.

Competencies, Performance and Pay. William M. Mercer Companies, Inc. 1995.

Detailed journal provides an overview of the state-of-the-art practices in the area of competency-based human resource systems. It defines competencies, and explains why to develop a competency-based system. Explains how performance management works under a competency system, how competency systems affect pay, and what to expect in the future of competency based systems.

Improving Organizational Effectiveness Through Broadbanding. Gilbert, Dan, Ph.D. and Abosch, Kenan S. Innovations. American Compensation Association. 1996.

Comprehensive journal covers broadbanding, including an overview of the design process, readiness assessment, designing a broadbanding framework, developing a communication and training plan, testing and implementing the program, assessing the new program, and weighing the broadbanding decision.

Opinion--Competencies: A Poor Foundation for the New Pay. Lawler, Edward E., III. **Response--Competencies: The Right Foundation for Effective Human Resources Management.** Hofrichter, David A. and Spencer, Lyle M., Jr. Compensation & Benefits Review. November-December, 1996.

Two articles review both sides of implementing the use of competencies as the determinant of pay. Four major points of contention exist between the two articles: 1., whether or not competencies are generic and undifferentiated; 2., whether or not competencies are genuinely job related; 3., the degree of difficulty involved when measuring competencies; and 4, Whether or not generic trait-rating approaches lead to subjective, invalid, or discriminatory outcomes.

Raising the Bar: Using Competencies to Enhance Employee Performance. Hay Group, et. al. American Compensation Association. 1996.

Comprehensive journal describing a comprehensive research project about competencies. Includes sections about building competency models and competency-based HR Applications: staffing, training and development, performance management and compensation.

The Role of Competencies in an Integrated HR Strategy. Thompson, Michael a., et. al. ACA Journal. Summer, 1996.

Comprehensive report on study findings regarding competencies conducted by the American Compensation Association. Discusses competency based HR applications, including staffing, training and development, performance management, and compensation.

Tapping “Star Quality” with Competency-Based Pay. Hofrichter, David and Douglas, Kimberly, Hay Group. ACA News. March 1996.

Discussion on the key issues, practices and results of organizations that have implemented or have considered implementing competency-based HR programs

The State Personnel Division can help you locate these articles and books. A longer list, including these and other sources of information, will be part of the finished guide and also available electronically. The Professional Development Center can give you information on available courses to help prepare for this process.



3





A GUIDE
TO
INTEGRATING
COMPETENCIES
INTO
MONTANA'S
HUMAN
RESOURCE
PROGRAMS



CREATING COMPETENCY
MODELS
2000

INTEGRATING COMPETENCIES INTO MONTANA'S HUMAN RESOURCE PROGRAMS

CREATING COMPETENCY MODELS

INTRODUCTION

Competency models represent the most critical knowledge, skills and behaviors that drive successful performance with respect to a particular type of job or occupation. They describe competencies in behavioral terms, using behavioral indicators, so employees can recognize the competencies when demonstrated. The following competency, extracted from one pilot-project competency model shows a good example of basic format.

INTERPERSONAL UNDERSTANDING

Builds strong work relationships. Adjusts to how individuals, organizational units and cultures function and react. Senses how others feel. Fosters rapport with co-workers and customers, without intending to persuade or influence.

- Encourages open communication with staff or within teams. Creates an environment where people are comfortable expressing what is important to them.
- Relates to others in an open and accepting manner.
- Creates an atmosphere of trust.
- Recognizes and appreciates the skills and special areas of expertise possessed by employees. Acknowledges and appreciates the contributions of others.
- Fair, open-minded and unbiased about each employee.

Typical elements of a competency model include competency titles with definitions, behavioral statements describing the competency in action, and supporting knowledge competencies applicable to the job or occupation. Competency models often contain some sort of overall graphic depiction of the relationships between competencies or show them clustered into related groups. For example, a graphic can show Knowledge competencies have more or less importance than behavioral competencies, or Personal Effectiveness competencies are the most critical behavioral competencies.

"Commerce Managers' Competencies", Figure 1, draws a graphic representation of that pilot project's competency model. Without explanatory text, the graphic shows that this agency wants to communicate to employees and customers the importance of Personal Effectiveness competencies to the managerial role. On

the other hand, Influence competencies represent a smaller segment of the graphically displayed competencies. Managerial performance goals, competency-based pay systems, employee training and development plans or other human resource functions could easily duplicate this same value, or relationship. Not every competency model needs graphics. They are one way to help communicate organizational values or the relationships between different competency areas. They also lead to easy, visual, cross-occupational comparisons within an agency or between several agencies, that may reflect resource allocation priorities.

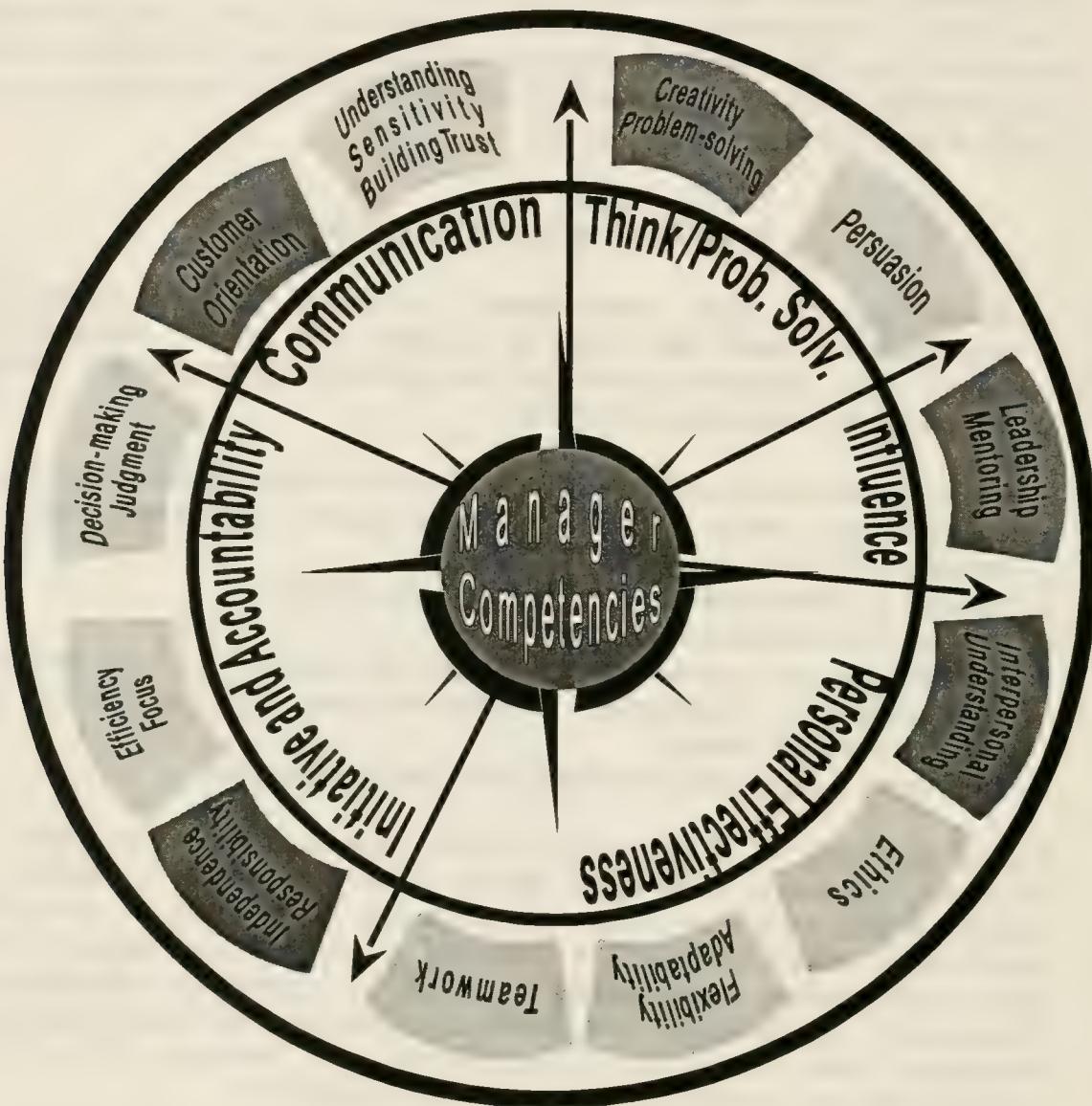


Figure 1. *Commerce Managers' Competencies: graphic representation of the competencies valued in the Department of Commerce Managers pilot project.*

Although a good example of a competency model graphic, the figure does not represent a complete competency model. A model includes the critical competencies that drive success for an occupation or a specific job, definitions of each competency, and a list of behavioral indicators for each competency that describe how the competency is demonstrated in the workplace. The Data Collection and Data Analysis portions of this section discuss how to construct behavioral indicators as well as the other pieces of a complete model.

Once a competency model is completed, it provides the fundamental information for design of a good graphic representation of the general contents of the model. For example, Addendum A, which is a complete competency model, formed the basis for Figure 1. The graphic does not display all of the competencies, definitions or the more specific behavioral indicators. It portrays general themes or relationships, and can communicate relationships or organizational values as a type of graphic message to employees or customers.

Research and the experience of other organizations show that building competency models enables organizations to:

- Link selection, training and development, and compensation to business strategy and critical challenges facing the organization
- Focus performance management on what is critical for success
- Recruit and select more effectively
- Drive organizational and cultural change
- Understand what constitutes superior performance
- Provide a framework for continuous improvement
- Establish measurements that make a difference

Built through careful study of subject matter experts, top performers or others who know the competencies required for success in a particular occupation or job, competency models should reflect the context of the work and communicate the organization's values. Competency models can target different functions or occupations within an organization. They can describe core competencies that apply to everyone in the organization. Competency modeling begins the process of building tools to link employee performance to the mission and goals of the agency.

BUILDING A COMPETENCY MODEL

Previous sections of this guide discuss agency readiness and orientation. If agency readiness indicates a favorable environment exists to develop a competency system, and orientation of participants has occurred, building a competency model can begin. Discussions should take place during orientation and readiness assessment between affected employees and management about the competency project, and the employees' role in the business strategy for carrying out the agency mission. The participants need to understand what constitutes success and how they fit into the larger organizational context.

The following discussions include references to the statewide competency model. This competency model describes large competency categories and covers a much broader scope than models developed in pilot projects. The entire statewide model forms the following chapter of this guide to use in building individual competency models.

There are different types of competency models, including agency models, occupational models, and job or role models. The following examples will help distinguish the different types and their varying levels of detail and scope:

Agency Competency Models

- More specialized than the statewide model, but still broad-based
- Related to an agency's mission
- Related to an agency's strategic goals
- Related to an area of service

Examples of agency competencies: customer service, efficiency, responsiveness, innovation

Agency level competency models typically include broad categories or groups of competencies and reflect a "higher level" view widely applicable to multiple work units, divisions or an entire organization. For example, the Department of Administration recognizes the behavioral competencies listed above as important to success in all divisions of the department.

A pilot project underway in the Department of Labor demonstrates one approach to building an agency-level competency model. In this pilot project, numerous job type and work unit models built over an 18-month period were compared and analyzed using a "pattern analysis" technique to arrive at recurring themes or patterns. (The "Data Analysis" section describes a similar process called theme analysis.) The recurring competencies form the basis of the agency competency model. The competencies repeated throughout several of the job or work unit models become "core competencies" or "core agency values". These reflect competencies valued or necessary in a variety of occupations throughout the

organization, believed central to success in carrying out the agency mission and vision.

Occupational Competency Models

- Relevant to specific types of work
- Behaviors that contribute to success in the occupation
- Include necessary knowledge and skills

Examples of occupational competencies: Commitment to the profession; Efficiency and focus; Writing effectively; Analytical thinking; Knowledge of hardware and software configurations; Knowledge of operating systems.

An occupational competency model covers a broad occupational area and includes multiple levels of work. The Information Technology Pilot team has built an occupational model that spans several agencies and describes a variety of jobs and levels of work within the broad field of information technology. When an entire occupation shares common competencies or has similar market salary issues that are not individual to certain agencies this type of model can prove valuable.

Typically, competencies in occupational models compare to the “sub-categories” in the Montana Statewide Competency Model. Occupational models provide the foundation for identifying the critical knowledge competencies in that occupation. Though more specific than agency wide competencies, these models have broad-based applicability to multiple work units and jobs. Addendum A, the Commerce Managers’ Competency Model, is an example of this type of model.

Job or Role Competency Models

- Specific to a position or group of positions or roles
- Related to work unit goals and objectives
- Linked to agency's vision and business strategy

Examples of job or position competencies: Good sense of self, takes positive steps to improve; Non-judgmental and tolerant; Maturity and emotional discipline; Cooperative; Listening skills; Knowledge of medical protocols, first aid, universal precautions, and an understanding of chemical dependency.

The most common type of competency model describes job or role competencies, often those specific to a certain type of job within a specific work unit. The pilot project at the Department of Revenue is building a job or role competency models for a number of positions. This type of model provides a good foundation for building performance appraisals or individual training and development plans because relatively specific behavioral and knowledge

competencies tie directly to certain types of jobs or roles within a work unit or agency. Job models can also be built for individual or unique positions in an agency. Addendum B, the Department of Revenue Appraisers Competency Model is an example of this type of model.

The process of building any type of competency model requires some up front planning so that the time and effort spent in modeling supports the competency system being designed. The following general steps describe the process:

- Decide on the type and number of competency model or models needed
- Plan the data collection method and approach
- Analyze the competency data using statewide model
- Design draft model
- Management review of model
- Revise, if necessary, and use it!

This process is described in greater detail with recommended best practices in the following sections of this guide.

COMPETENCY SYSTEM WORK FLOW

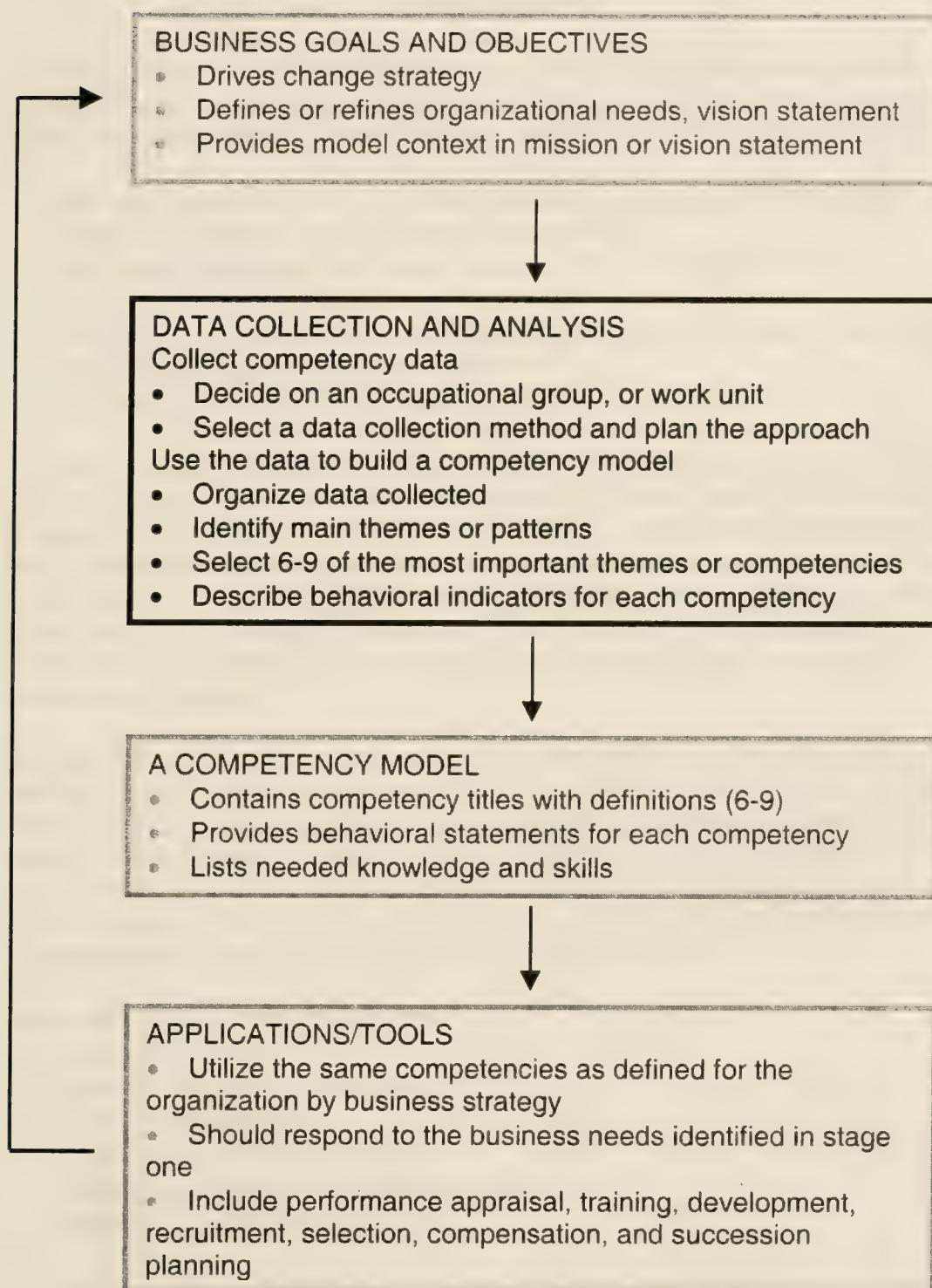


Figure 2: Work Planning for Developing a Competency System

DATA COLLECTION AND ANALYSIS

Data Collection

Collecting data to build a competency model requires initial planning and decision-making. Designing a successful data collection effort depends on a sound project concept. This involves answering some important questions:

- How homogenous is the job or occupation or work unit? How many different levels or subgroups must be taken into account?
- How many people will this competency model involve or affect?
- Will modeling include multiple jobs or roles?
- Who needs to participate in the data collection, model building and research?
- Who knows about this job and its future?
- How much time can project leaders spend collecting data?

Considering these questions and the scope of a model building project will help to use available resources more efficiently. Many people will contribute to success of the project through participation in the model building process. Previous sections of this guide discussed competency models as a document or final product. The term "competency modeling" refers primarily to the data collection and analysis processes that result in a competency model. Competency modeling is a process that organizations go through to build competency models.

The practice of competency modeling has changed since its origin and the initial work of David McClelland in the 1970's.¹ In addition to having a very specific job focus (typical of the earliest competency models), competency models today may have a more organization-wide focus and have changed from requiring limited involvement of specific employees to high levels of participation by large groups of employees within an entire organization. These changes have spawned the development of a variety of data collection methodologies.

Methods of data collection include:

- Armchair method
- Generic competency dictionary
- Customized dictionary
- Expert panels/Focus groups
- Building customized competency menus
- Behavioral event interviews

Choosing a data collection methodology requires consideration and balancing of multiple issues, including time, cost, validity, how management will use the model(s), and the need for employee buy-in through participation and education. The list above orders data collection methods from the most standardized, least rigorous, and easiest approach to the most research-based, rigorous, and

generally time consuming methods. the State Personnel Division has studied all of these approaches and concluded that both the customized competency menu approach and the use of expert panels or focus groups provide the best balance between rigor and efficiency.

The recommended best practice for the State's competency project uses the development of **customized competency menus** as a method of data collection². This approach, in its modified style, combines both research-based data needs with a high level of efficiency. The process involves a group of employees representing a particular type of job or group of jobs that may include different levels of work. They work together in "menuing sessions" to identify and agree upon job context, job customers, job outputs and job competencies. The end product or result of this data collection method is a list or "menu" of job context items, of job customers, of job outputs and most importantly, of job competencies.

Advantages include:

- A relatively efficient process that balances the need for research-based data with limited time and cost considerations
- Very participatory, involving large numbers of employees directly in the data collection process generating high levels of "buy-in"
- Either present or future oriented. (What is the vision for the work unit? What competencies will enable the agency or unit to meet established goals?)
- Direct educational opportunities for employees about the project
- More accurate data than less research-based approaches
- A simple process that requires minimal preparation
- A good lead-in to developing other tools such as performance appraisals, position profiles, and compensation models
- Communication between employees and managers about agency vision, mission and business strategy and about how the work unit fits into the larger context of the whole organization

Using **expert panels or focus groups** involves a group of internal subject matter experts and/or stakeholders, with knowledge of a particular job or group of jobs who work together to identify requirements for superior job performance. This data collection method balances both research-based data or validity needs with consideration of time and money spent. It provides more accurate, rigorous data than some other methods yet costs less than conducting Behavioral Event Interviews.

For example, development of Montana's Statewide Competency Model began by asking state managers to characterize superior performance. Focus groups covering more than 25 occupations, spanning all grades provided the raw data used to identify the most common and critical behavioral competencies of top performing state employees. The resulting list of six competency categories, with

lists of specific competencies and behaviors became the Statewide Competency Model (Chapter 4).

In this effort, focus groups had certain advantages. They proved the most efficient way to collect information from large groups and multiple occupations, and to identify top performers quickly. Conducting multiple focus groups that involve greater numbers of employees creates higher buy-in and serves as educational sessions to anchor a competency project effort.

The data collected from experts can usually generate either present or future-oriented competency models that can be validated through use. Using subject matter experts involves fewer people in providing data for the model, which reduces the level of employee buy-in.

The state's competency pilot projects are using several different approaches to data collection. Most have used the menuing process or focus groups to generate competency data, although some have used a hybrid of both behavioral event interviews and customized competency menus. The following sections describe both of the preferred data collection methods in detail.

Building Customized Competency Menus

The menuing method of data collection harnesses the collective knowledge of groups of employees and managers about the competencies required for success in a particular type of job. In this approach, the scope of a competency project determines the number of "menuing sessions" needed. To build a competency model for a single occupation, each menu session ideally includes successful employees currently working in that occupation. The agency organization chart will help map out a strategy for collecting data from entire work units that participate in one or more menuing sessions. Critical human resource programs such as recruitment and selection, individual competency development planning and training, performance management and compensation will also use the resulting menus.

Selecting an occupation

Management and project leaders select the type of job or occupation for which to produce a model by reviewing the agency's organization chart and discussing project design. Work units should conduct menuing sessions with the assumption that they have unique work outputs or work processes that define a portion of the "value" of their agency's mission and vision.

Selecting participants

Menu session participants should include individuals affected by the system design who have a common occupation and work unit. A selected work unit might involve a section, a bureau or even a division or regional office. Since possible advantages include buy-in, participation and education, group size and composition become important considerations. A desirable group size is generally less than 15 but more than 5 participants, with 10-12 being optimum. For very large occupational groups, a project leader may want to limit participation to the work unit's most "successful" employees.

Organizing the session

This requires a facilitator comfortable with the menu process and a note taker to record on flip chart pages all of the information collected by the group. Each menu session should begin with an introduction to the process by the facilitator. To ensure that participants are aware of the importance of this data to the final competency model, a management representative presents information about the work unit's purpose and goals, and the vision of the work unit's future. This representative will generally define "success" for employees at the start of the menuing process.

Method

Menuing sessions include selected participants, plus the facilitator, note taker and management representative. Employees should understand their work in the context of the current agency business strategy so that this direction is considered when participants determine the competencies necessary to achieve

agency goals and objectives. This will help assure that the models built reflect the current and future direction of management.

AGENDA	
(occupational group, agency) Building a Competency Menu (Date, location)	
Facilitator: _____	
10:00	Introduction/Orientation by _____ (internal executive)
10:15-10:45	Round 1: - Context (discuss both current and future context) 1) Define the scope of your work unit's mission, taking into account the vision, strategy, mission statements recently constructed for the (agency). With the departmental mission, what part of the bigger picture do you complete? 2) What is unique about your operating environment? What internal or external factors drive (or influence) your work? What conditions, present or future, affect your jobs or the organization as a whole? Identify any unique assumptions about your work unit. (These may be things such as changes in organizational structure, management style, the workforce, political environment, legal challenges, customers, etc.)
10:45-11:00	Round 2: - Customers 1) Identify the customers, the individuals and groups who are the key receivers of your work, <u>both internal and external</u> . Who are/will be the primary recipients?
11:00-11:10	<u>Short Break</u>
11:10-11:30	Round 3: - Outputs 1) Identify the tangible and intangible products, services, information or processes that your work unit produces, provides or delivers to your identified customers. These are not lists of tasks. 2) Take some time to prioritize what products/services are most critical, less critical (not as important). Each person takes 10 dots and places one next to each of the items that are most critical.
11:30-noon	Round 4: - Competency Menu 1) Think about the previous menus that you have created, and identify the competencies that are needed to produce the identified outputs for your customers within the context and scope of your organization's mission and vision. <i>Competencies are sets of measurable and observable knowledge, skills, abilities and behaviors that contribute to success in a job. Competencies predict success, and drive organizational and individual performance.</i> 2) Take some time to prioritize these competencies and decide which ones are most critical. Each person takes 10 dots and places one next to each of the items they believe to be most critical for success in this job context.
Questions & Comments	

Figure 3: Sample Agenda for a menuing session

Each menuing session will probably take two and a half to three hours. Basic equipment includes two flipchart stands with large writing pads, several broad line markers, masking tape to hang the completed sheets, colored dots for

stratifying the competency and output menus, and copies of the statewide model for participants. The State Personnel Division can help start the data collection and model building process, and can provide support and research for pilot projects.

Menuing participants brainstorm, while the note taker writes the information on large flip-chart sheets. As each sheet fills up, it is numbered and taped to the walls in the room so that everyone can build upon what others have said. Each step in the menuing process results in a list of data that will prove useful later when building the competency model or building other human resource tools such as a performance appraisal.

Figure 4, on the following page provides a useful graphic of the four-step process and makes a good handout around which to organize a menuing session.

MENUING SESSIONS



Figure 4: Menuing Process Graphic²

The facilitator guides the group through the following four steps:

Step 1 – Context: Define the scope or strategic context of the work unit's "mission". This step should include discussion and analysis of the work unit's operating environment.

Identify any unique assumptions about the unit's work, including outside factors that influence the work. These statements describe present or future conditions that affect jobs and the organization as a whole. They may predict strategy or changes in organizational structure, the workforce, political environment, legal challenges, customers, budgets, or technology. These assumptions become a partial basis for describing the work necessary to provide services to the public. They also form a partial basis for predicting the knowledge, skills and behaviors essential for the organization to meet current and future challenges.

MENUING SESSIONS

<u>CONTEXT</u> (operating environment)	<u>CUSTOMERS</u> (external, internal, co-workers)
<p>This can include such things as:</p> <ul style="list-style-type: none">• Outside factors• Internal factors• Physical work environment• Social work environment• Economy, budgets and so forth• Legal issues• Workforce• Turnover• Future changes in the organization or political climate	

Figure 4a: Results of Menu Process-Step One

Next, begin a new set of flip-chart sheets and brainstorm to build a list or menu of both customers and outputs of the work unit.

Step 2 – Customers: *Identify customers. List the individuals and groups who are the key receivers of the work performed by the work unit.*

Identify who will be the primary recipients of the work.

Step 3 – Outputs: *Identify the products, services, information or processes that the agency or work unit produces, provides, or delivers.*

An output menu lists of all the outputs that the organization must provide to external individuals or groups, or that individuals internal to the organization must provide to each other to accomplish the agency's mission and business strategy. This menu does not list tasks, but, rather, the products, services, programs,

MENUING SESSIONS

CONTEXT (operating environment)	CUSTOMERS (external, internal, co-workers)
	<p>These can include:</p> <ul style="list-style-type: none">• Co-workers• Management• Local government• Federal agencies (be specific)• Groups (be specific)

Figure 4b: Results of Menu Process-Step Two

information, and knowledge that ultimately become individual or team accountabilities in order to achieve the work unit goals.

After the list is completed, give each participant ten colored dots and a few minutes to review the list. Each person should place one dot next to each of the "top ten" or most important outputs. This will narrow the list and the focus to important outputs when constructing the competency menu in step 4. Completion of this exercise provides a good indication of the relative importance of each output.

Step 4 – Competencies: *List the competencies that are important for success in the job. What competencies are needed to produce or deliver the outputs listed in step 3 within the context described in step 1?*

The strategic context (step 1 menu), the customers (step 2 menu) and outputs (step 3 menu), supply the basis for developing a competency menu. This listing should include the knowledge, skills and behaviors needed to do the job successfully and deliver the work unit products and services.

MENUING SESSIONS

OUTPUTS (work products and services)	COMPETENCIES (behavioral and knowledge)
<p>Everything the work unit produces, such as:</p> <ul style="list-style-type: none">• Advice• Recommendations• Decisions• Reports• Services• Manuals• Shared knowledge	

Figure 4c: Results of Menu Process-Step Three

Take time at this step to review the definition of competencies as the knowledge, skills and behaviors critical for success in the job. Complete a competency menu for each work unit, functional work area or other category of work. As a group, determine critical competencies by narrowing down the menu to those competencies that capture the essence of successful performance.

During this step, the facilitator reviews the competency categories in the statewide model and uses probing questions to clarify items listed on the flip-chart sheet. In this way, the participants respond with good behavioral descriptors that will provide data for building a competency model.

For example, if a participant says "flexibility", the facilitator should respond with, "In what way is flexibility demonstrated?" or "What do you mean by flexibility? Give me an example."

After the list is completed, give each participant ten colored dots and a few minutes to review the list. Have each person place one dot next to each of the "top ten" or most critical competencies. This will help narrow down the menu to the most important competencies. Completion of this exercise indicates the relative importance of each competency.

This four-step process completes the menu session. Number the hand-written flip chart sheets in order, keeping track of which sheets belong to the context, customers, outputs and competency menus. Soon after this session, transcribe the notes into electronic format and note the number of "dots" on each data item from the output and competency menu steps in the electronic document. This document forms the raw data used to build the competency model. The note taker for the menu session must write down every piece of data given by participants. Menu session participants should have a chance to review the electronic version of the notes to ensure the data is accurate and complete.

MENUING SESSIONS

CONTEXT (operating environment)

This can include such things as:

- Outside factors
- Internal factors
- Physical work environment
- Social work environment
- Economy, budgets and so forth
- Legal issues
- Workforce
- Turnover
- Future changes in the organization or political climate

CUSTOMERS (external, internal, co-workers)

These can include:

- Co-workers
- Management
- Local government
- Federal agencies (be specific)
- Groups (be specific)

OUTPUTS (work products and services)

Everything the work unit produces, such as:

- Advice
- Recommendations
- Decisions
- Reports
- Services
- Manuals
- Shared knowledge

COMPETENCIES (behavioral and knowledge)

Examples of competencies:

- Correspondence is concise
- Reports on the facts
- Stay focused and produce quality documents amongst chaos
- Information is accurate and demonstrates a knowledge of regulations and the ability to research
- Uses correct grammar, spelling, format, syntax
- Knows when communication needs to occur and takes necessary steps
- Fills forms out accurately (details to insure federal/state agency compliance) and within established timelines
- Identifies whether a person has a communication barrier and communicates with the person in the way the person prefers and responds best
- Doesn't take it personally
- Expresses constructive criticism to staff
- Thinks "out of the box" to see bigger picture
- Correspondence needs minimum revisions
- Considers future opportunities or requirements; considers future impact of current decisions
- Makes an effort to enhance knowledge of current practice through continuing education endeavors
- Able to see ramifications of choices
- Pitches in and helps out when other management team members are overloaded-willing to cross train
- Collaborates on reports
- Open-minded to each others thoughts and ideas
- Able to develop and use resources available
- Able to break down tasks into individual areas and bring back together to reach desired outcome within strict deadlines
- Balances decisions with other issues and needs
- Able to forecast impact of decisions
- Responds positively to challenges
- Willing to take risks
- Understands far-reaching effects of even routine activities

Figure 4d: Results of the Menu Process-Step Four. Data that will be used in building a competency model.

Conducting Focus Groups or Expert Panels

While the menuing process remains the recommended best practice for collecting competency data, focus groups or expert panels may prove more efficient or effective in some situations. Focus groups provide an opportunity to educate participants on competency-based human resource systems and obtain information from them about competencies that predict success in their occupation or agency.

Selecting participants

Pick focus group participants who are subject matter experts. The participants need to understand the difference between "top performance", "average performance", and "poor performance" in a particular job type. Participants should be:

- Knowledgeable of the occupation (have done the nuts and bolts work themselves)
- Responsible for the management or supervision of people doing the occupational work
- Articulate.

A group of 6-10 is desirable. Participants should not send an alternate if they cannot attend. This process depends on their specific expertise and experience to gather good quality data.

TO:

FROM:

DATE:

SUBJECT:

Thank you for agreeing to participate in a focus group to gather competency information applicable to (Occupation). Please review the following information before you come to the focus group. It will help you become familiar with the concept of competencies in human resource management. I have enclosed the following:

Sample enclosures: Frontiers newsletter

Index from the Statewide Competency Model
Introduction from Handbook

Please bring examples of position descriptions for the occupation, career ladders, training assignments, selection materials, work unit goals and work plans.

The focus group will take about three hours. It will meet on (date) from (time) in the (location). You have been selected specifically because you have demonstrated that you are a subject matter expert about this occupation based on your performance and supervision of the work. If you cannot attend, please do not send a representative.

Thank you in advance for your participation. If you have questions, please contact me at (telephone or e-mail).

Attachments

Figure 5: Sample letter to participants in a focus group.

Preparing participants

Give participants background and preparatory materials including the Statewide Competency Model, the *Frontiers* newsletter or the introduction section to *Integrating Competencies into Montana's Human Resource Programs*. Ask them to review this information before the focus group session. They should bring samples of position descriptions in the occupation, information about existing career ladders, examples of training assignments, selection materials, work unit goals and objectives and work plans to the session. This information might be useful in determining the competencies needed to be successful in the job.

Organizing the session

Conducting this type of session requires a facilitator, a note taker, flip chart stands and pads, masking tape, a tape recorder with enough tapes for three hours, and packages of colored "dots". A meeting agenda that includes a time schedule, the purpose of the session, names of participants, and the general process may prove useful.

COMPETENCY FOCUS GROUP AGENDA (Occupation) (Date)	
Subject Matter Experts: (List names and titles)	
Staff:	(List names and titles)
9 a.m.	Introduction of participants Background of project Ground rules/housekeeping details Objectives
9:15 a.m.	Brainstorm specific behavioral competencies.
10 a.m.	Break
10:15 a.m.	More brainstorming and ID "top ten" list of competencies. Each participant takes a few minutes to individually ID the top ten, then as a group reach consensus on those ten most critical competencies.
11 a.m.	Short break
11:10 a.m.	Focus on top 10 competencies and try to identify specific examples of how these are demonstrated in the workplace.
12 noon	Wrap-up

Figure 6: Sample agenda for a focus group session

Select a facilitator who is knowledgeable about the state's competency project. A note taker records the comments of participants as accurately as possible on flip charts, and displays them around the room, taped to the walls, as they are completed.

Conducting the session

Conducting the focus group takes about three hours. The facilitator sets the ground rules and objectives for the meeting and tells participants the session will be tape recorded so that transcription is possible. The note taker will record the competency information as participants brainstorm their ideas and contributions.

The facilitator may wish to review the project background or provide information to the group about the status of other competency pilot projects in the agency if others are occurring. The group will brainstorm information that describes behaviors of top performers in a particular occupation.

The facilitator asks the group the following kinds of questions:

- What behaviors and employee characteristics contribute directly to organizational success? Use the Index from the Statewide Model to generate discussion. The facilitator may need to refer to examples of behaviors in the statewide model. In general, using the full model as a focus group tool is cumbersome and may actually limit creative thinking. The facilitator may find that asking probing questions will help ensure the behavioral statements offered fit the occupation being described.
- What behaviors constitute top performance?
- Optional question: "Do you have an existing career ladder or have you used a training assignment in this occupation? On what factors do you base advancement or determine the training assignment is complete?"

Ask participants to spend a few minutes individually to identify the Top Ten competencies they believe are critical to driving organizational success. Participants can identify their top ten by going around the room and placing a colored dot on the flip chart pages beside the chosen items. The facilitator then compiles a list of the entire group's Top Ten by recording the "votes". The group should review and discuss this list and try to reach consensus.

The facilitator will focus participants' attention on the Top Ten and ask for specific examples of ways these competencies are demonstrated in the workplace. Asking them to share personal experiences or to tell stories will help clarify the competencies.

Transcribing the notes

Have the flip chart pages and the tape recordings transcribed for use in data analysis. List the top ten results separately as an aide in analyzing the data later.

COMPETENCY SYSTEM WORK FLOW

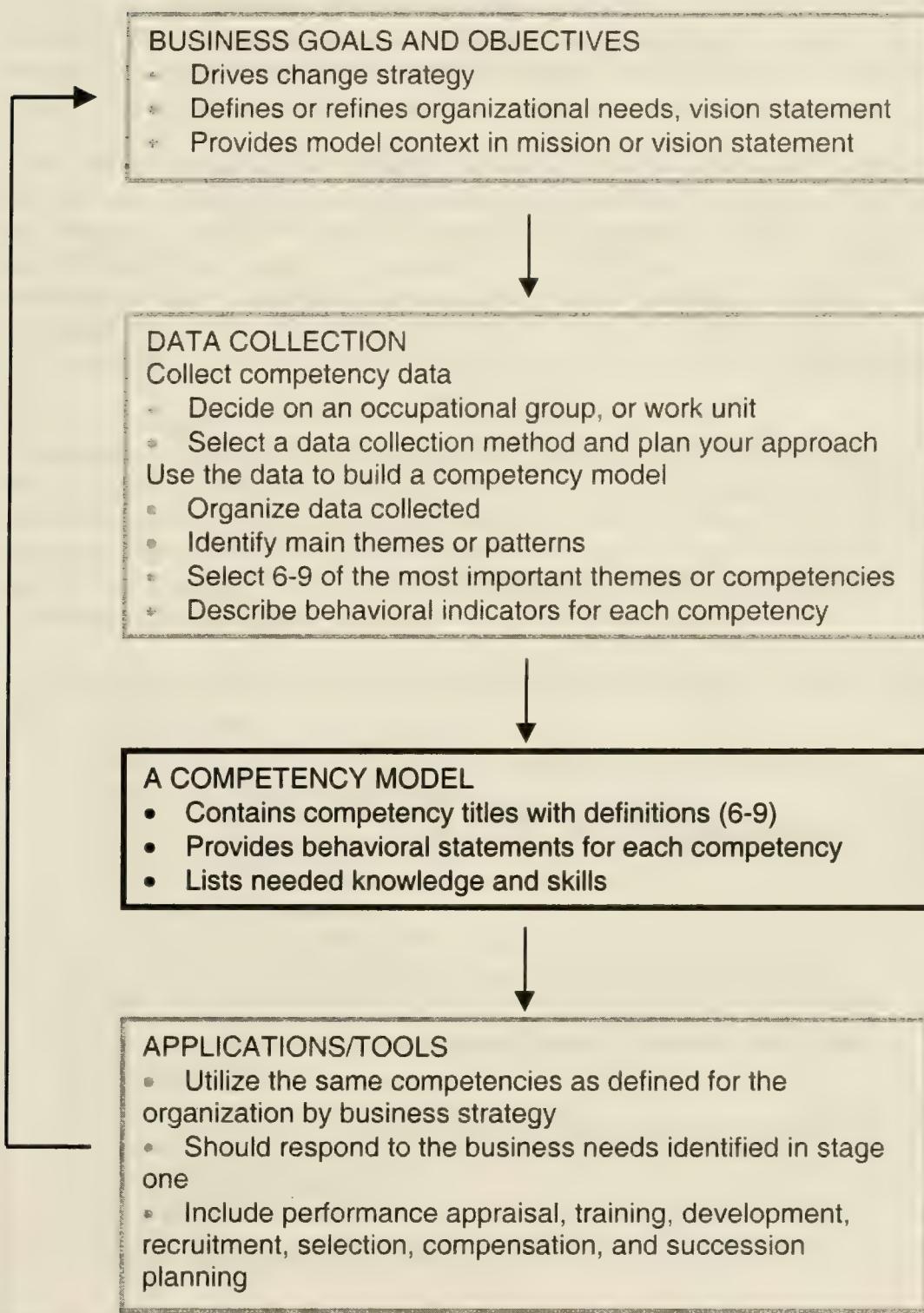


Figure 7: Work Planning for Developing a Competency System

Data Analysis and Model Building

Building a competency model requires analyzing and organizing the data collected during menuing sessions and focus groups into a logical and orderly format. The final competency model will reflect the effort and time put into this important process.

The brainstorming nature of the data collection process provides a large amount of raw data, likely in no particular order. One method of bringing order to all the information, called "theming", looks for the common ideas, concepts, and approaches that result in successful job performance.³ Construction of the statewide model used this process, also called "pattern analysis". From this emerged the six behavioral categories that provide organization to the competencies. The categories are natural groupings of related competencies.

Getting Started

Transcribe the competency raw data from the data collection sessions. Retain the indicators (dots) for each item which menuing or focus group participants identified as their top ten competencies. In this step, focus on the competency menu represented in the fourth quadrant as shown in Figure 4d. At this point, the raw data will simply form a list of competencies, behavioral indicators or other information as in Figure 7.

- Correspondence is concise
- Reports on the facts
- Stay focused and produce quality documents amongst chaos
- Information is accurate and demonstrates a knowledge of regulations and the ability to research
- Uses correct grammar, spelling, format, syntax
- Knows when communication needs to occur and takes necessary steps
- Fills forms out accurately (details to insure federal/state agency compliance) and within established timelines
- Identifies whether a person has a communication barrier and communicates with the person in the way the person prefers and responds best
- Doesn't take it personally
- Expresses constructive criticism to staff
- Thinks "out of the box" to see bigger picture
- Correspondence needs minimum revisions
- Considers future opportunities or requirements; considers future impact of current decisions
- Makes an effort to enhance knowledge of current practice through continuing education endeavors
- Able to see ramifications of choices
- Pitches in and helps out when other management team members are overloaded-willing to cross train
- Collaborates on reports
- Open-minded to each others thoughts and ideas
- Able to develop and use resources available
- Able to break down tasks into individual areas and bring back together to reach desired outcome within strict deadlines
- Balances decisions with other issues and needs
- Able to forecast impact of decisions
- Responds positively to challenges
- Willing to take risks
- Understands far-reaching effects of even routine activities

Figure 8: Partial list of competencies from a menuing session

If possible, set up a working group of at least three people to build the model. Managers, menu session participants and a HR representative would all be appropriate members of the group. A good modeling team needs conceptual thinkers, who can see patterns and connections and who are committed to the job or work unit and its future. They will need to know current internal and external issues affecting the job.

Each member will need a copy of the transcribed data. The group will go through the raw data and identify recurring themes using the competencies as defined in the statewide competency model as the basis for comparison. This type of theming, using a known basis for comparison provides a certain amount of consistency in this system.

Coding the Data

The group will go through the list of competency items using the codes from the Model Set-Up, Addendum C, to write the code next to each raw data item. The modeling team will use the competency definitions listed in the statewide model, Chapter 4 of this guide to discuss and identify the underlying competency or competencies represented by the data item. Consensus between the team members is desirable. If a data item has two different competencies represented, code each portion separately. These statements will eventually

COM4	-Correspondence is concise
INA2E	-Stay focused and produce quality documents amongst chaos
INA2B	-Information is accurate and demonstrates a knowledge of regulations and the ability to research
COM4	-Uses correct grammar, spelling, format, syntax
TPS1C	-Knows when communication needs to occur and takes necessary steps
INA2B	-Fills forms out accurately (details to insure federal/state agency compliance) and within established timelines
COM1C	-Identifies whether a person has a communication barrier and communicates with the person in the way the person prefers and responds best
PE4A	-Doesn't take it personally
INF1C	-Expresses constructive criticism to staff
TPS2D	-Thinks "out of the box" to see bigger picture
??	-Correspondence needs minimum revisions
CMT3	-Makes an effort to enhance knowledge of current practice through continuing education endeavors
TPS2D	-Able to see ramifications of choices
PE6B	-Pitches in and helps out when other management team members are overloaded-willing to cross train
PE6C	-Collaborates on reports
PE5A	-Open-minded to each others thoughts and ideas
TPS1C	-Able to develop and use resources available
TPS1A	-Able to break down tasks into individual areas and bring back together to reach desired outcome within strict deadlines
TPS1A	-Balances decisions with other issues and needs
TPS2D	-Able to forecast impact of decisions
INA1A	-Responds positively to challenges
INA3B	-Willing to take risks
TPS2D	-Understands far-reaching effects of even routine activities
COM3	-Is sensitive to audience in order to deliver effectively
INA2B	-Provides accurate information

Figure 9: Partial list of coded competencies from a menuing session

need revision to list the two different behaviors in order to represent both competencies. The group that coded the items in Figure 8 first determined the competency category, and then the subcategory, and so forth.

From the coded lists the group creates a document that lists the number of times that each competency was mentioned by counting the number of times each code appears as shown in Figure 9. The more times a particular competency

COMPETENCY MODEL DRAFT #1	
1. <u>PERSONAL EFFECTIVENESS</u>	
	INTERPERSONAL UNDERSTANDING (21)
	Empathy (10)
	Rapport (9)
	Non-judgmental and tolerant (2)
	ETHICS (15)
	FLEXIBILITY/ADAPTABILITY (9)
	Open minded (6)
	Willingness to change (3)
	TEAMWORK (8)
	Team building (5)
	Cooperative (3)
	SELF-KNOWLEDGE/PERSONAL AWARENESS (6)
	PROFESSIONALISM (5)

Figure 10: Results of the theming process

code recurs, the more likely it is that competency will be included in the final model. From the document showing the results of the theming process, draft a list of the 6-10 most frequently repeated competencies and retain the actual raw data items as bullets under each competency. Consider the top ten competencies identified by participants with dots during the menuing session or focus groups and balance that information with the actual data from the coding process when deciding on the top 6-10 competencies to use in the competency model. The model should not reflect all of the competencies necessary to perform a job. Rather, it should identify those competencies most critical for success. Coming to this conclusion requires thoughtful participation by both employees and managers.

Drafting Behavioral Indicators

Behavioral indicators make competencies observable and measurable by others. They are "competencies in action". They help to define some, though not all, of

the ways that job incumbents demonstrate a given competency. In some models, the behavioral indicators are generic so that they can apply to more than one type of occupation. The statewide model includes generic behavioral indicators. Job specific indicators are the result of research into specific jobs and generally describe the precise way high performers in that job demonstrate a competency. Job specific indicators are very useful for developing performance measures and training programs.

The first draft of the model should include:

- 6-10 competencies that recurred most often during the coding sessions of the model team, balanced with the top ten identified during data collection
- The statewide model definition for each competency
- The raw data items that represent each of the competencies identified and selected from the data collection sessions listed as bullets under the appropriate competency definition to serve as the preliminary behavioral indicators.

Each competency should have approximately 8-10 behavioral indicators listed after it. These behavioral indicators will customize the model for a specific job or occupation. Using the raw data items identified above as a starting point, develop the best possible behavioral indicators for each of the competencies in the model. If the modeling team includes successful employees, they can provide good indicators of the competency in action. The behavioral indicators should describe successful demonstration of the competency on the job for which the model is being built. Another approach for arriving at good behavioral indicators is conducting behavioral interviews of high performers in the occupation or job focused on how the employee uses the competency to be successful. The behaviors as described by high performers must be observable by others. Some of the original raw data may end up in the final model with only minimal editing. In other cases, the raw data will convey an idea that needs refining or editing to be a good, observable descriptor of the competency as demonstrated by high performers.

The competency model needs to support organizational business strategy and meet identified business needs. Once developed, a model that accurately defines competencies and successful behaviors for the work unit can provide a consistent basis for performance appraisal, training, development, recruitment, selection, compensation and succession planning. The competency system work flow from business goals and objectives, to careful data gathering and model development gives the organization the means to grow competent employees and realize its mission and vision. This is an ongoing cycle, which thorough up front planning and work will make easier with each repetition.

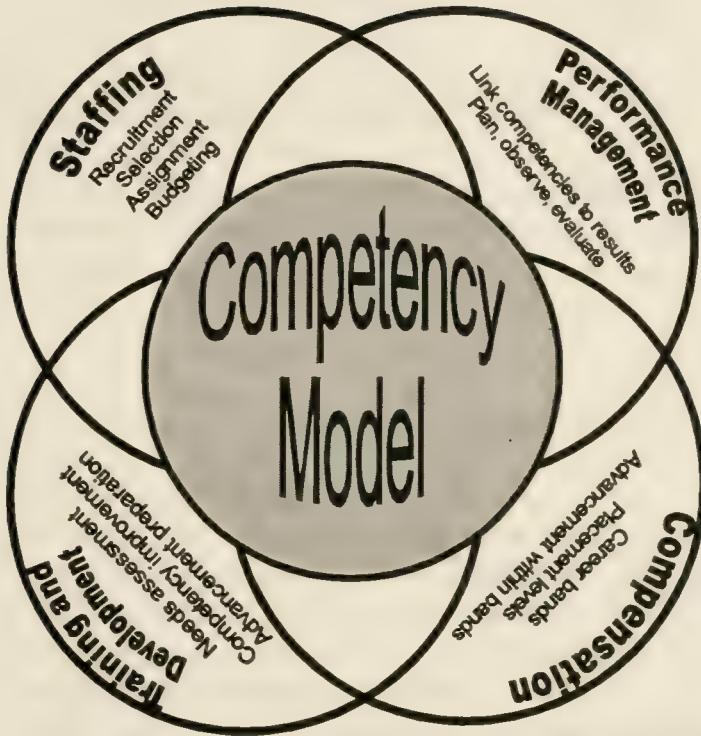


Figure 11: The relationship of a competency model to an organization's human resource processes.

Management Review

Management should review the results of the draft model. This review should consider the following questions:

- Do the behavioral indicators accurately describe successful behavior that supports the goals and objectives of the work unit?
- Does the model reflect or support the direction, vision and mission of the organization?
- Will the model provide the groundwork for development of a performance appraisal tool?
- Can the competencies defined in the model assist in making recruitment and selection decisions?
- Can the model help define staffing needs?
- Can the model assist in developing compensation plans?
- Will the model help define training and development needs?

Once management review determines that the competency model supports the work of the organization, affected managers and participants can look for ways to use the model in competency-based human resource processes. The next chapters will describe how to use the model in these processes.

COMPETENCY SYSTEM WORK FLOW

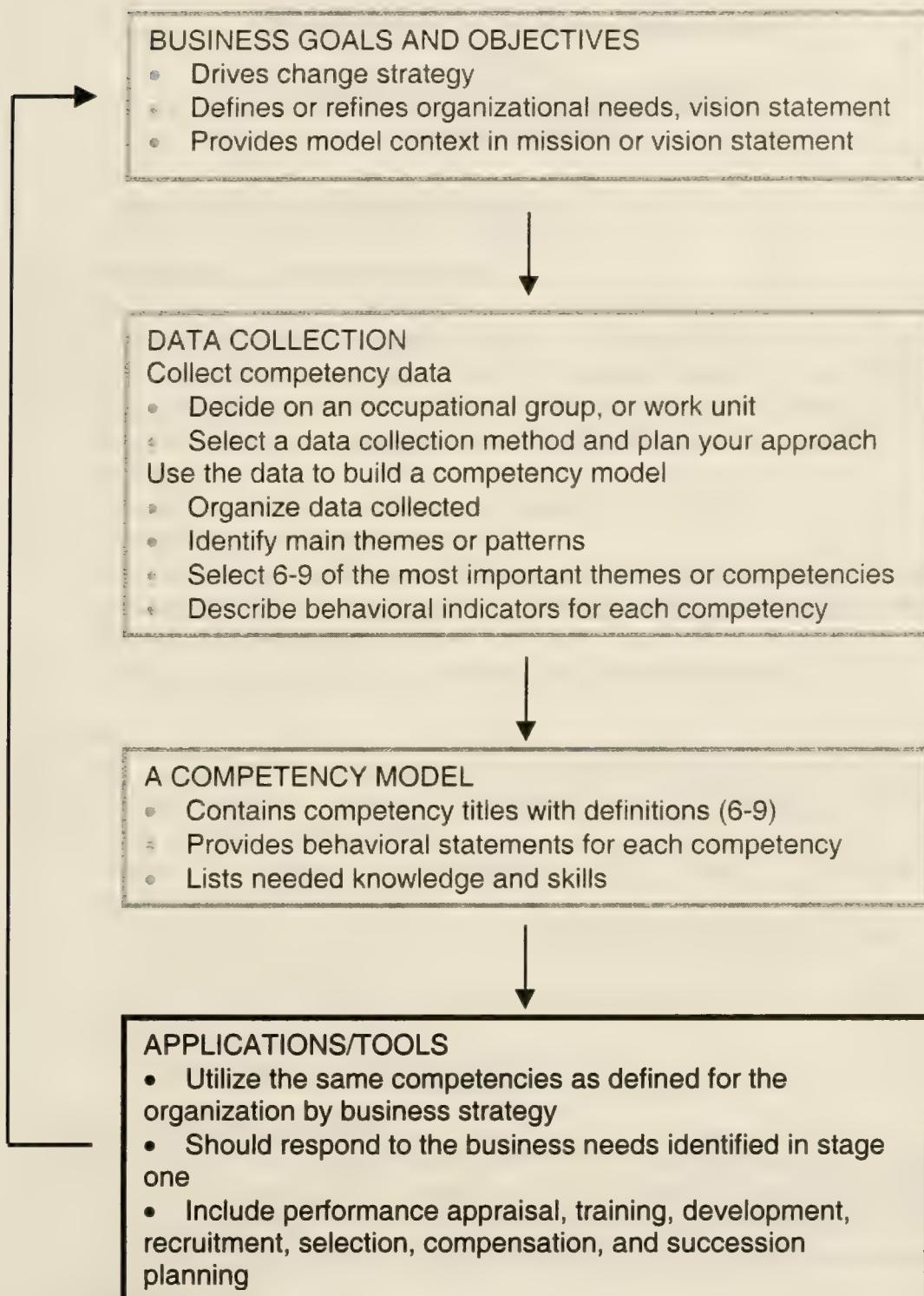


Figure 12: Work Planning for Developing a Competency System

ADDENDUM A

COMPETENCY MODEL DRAFT #4 7/98 DEPARTMENT OF COMMERCE MANAGERS

I. PERSONAL EFFECTIVENESS

INTERPERSONAL UNDERSTANDING

Building strong work relationships and adjusting to how individuals, organizational units and cultures function and react; the ability to sense how others are feeling and foster rapport with co-workers, customers and staff.

- Encourages open communication with staff or within teams. Creates an environment where people are comfortable expressing what is important to them.
- Relates to others in an open and accepting manner.
- Creates an atmosphere of trust.
- Recognizes and appreciates the skills and special areas of expertise possessed by employees. Acknowledges and appreciates the contributions of others.
- Is fair, open-minded and unbiased about each employee.

ETHICS

Behaving in accordance with sound personal and business ethics and values through openness and candor, truthfulness and forthrightness and ensuring actions are consistent with words.

- Deals with others in an honest and fair way. Understands the expectations of the public.
- Demonstrates knowledge of and belief in the professional code of ethics and rules of conduct.
- Communicates ethics to others by modeling ethical behavior and setting expectations for staff.
- Consistently demonstrates honesty every day.

FLEXIBILITY/ADAPTABILITY

The ability to adapt to and work effectively with a variety of situations, individuals or groups; to understand and appreciate different and opposing perspectives on an issue, to adapt one's own approach as the requirements of a situation change, and to change or easily accept changes in one's own organization or job requirements.

- Exhibits adaptability to a variety of circumstances and changing expectations.
- Adapts one's approach as the requirements of a situation change.

- Demonstrates the internal motivation to change oneself given external pressure to do so if it will further the agency's goals and objectives.
- Is a good student of the profession/discipline in which you operate. Demonstrates a growing/progressive knowledge sufficient to build appropriate alternatives to existing processes or projects.

TEAMWORK

The intention to work cooperatively with others, to be part of a team, to work together as opposed to separately or competitively.

Team building

- Demonstrates the ability to bring people together through teamwork
- Gives credit and recognition to others who have contributed on a team
- Builds teams that represent a mix of opinions and approaches and understands that all members of a team are necessary in accomplishing the work
- Develops cooperation and collaborative work efforts toward solutions which generally benefit all involved parties
- Demonstrates the capacity to understand the various personalities of individuals, and builds teams in which collaborative efforts happen.

II. INITIATIVE AND ACCOUNTABILITY

INDEPENDENCE AND RESPONSIBILITY

A preference for proactive and anticipatory action based upon taking calculated risks and making difficult decisions despite ambiguity or adversity. Accepting responsibility for decisions, actions, risks and results and being willing to ask difficult questions and point out problems or issues others may have overlooked or been reluctant to acknowledge.

Self-confidence, tough-minded

Expressing belief in one's ability to accomplish a task and select an effective approach to a task or problem. Includes confidence in one's own ability expressed in increasingly challenging circumstances, confidence in one's own decisions or opinions, and the ability to handle failures constructively.

- Confronts problems early and determines appropriate actions
- Takes appropriate action to meet challenging goals, objectives or business needs and assumes accountability before being asked to or before being forced to
- Demonstrates courage and a "can do" attitude
-

EFFICIENCY AND FOCUS

Focuses efforts and energy on successfully attaining clear, concrete, accurate, timely and measurable outcomes of importance to the organization; persisting even when challenged by obstacles and/or opposition.

Prioritizing, multi-tasking, balancing multiple projects

- Prioritizes projects and handles the most urgent ones first
- Accords time and resources in proportion to the importance of the task
- Maintains awareness of workload and makes appropriate adjustments to meet deadlines and complete work projects
- Is able to balance commitment to the big picture with the need to pay attention to accuracy and details.

DECISION-MAKING/JUDGEMENT

Independently takes action and responsibility for solving problems and making decisions designed to achieve desired outcomes.

- Demonstrates a “knack” for good judgement by making timely decisions that can withstand controversy
- Examines each issue from multiple angles and seeks workable solutions; does not automatically choose the first solution
- Recognizes when something is not working and is able to switch tactics or directions or stop and move on

ORGANIZATIONAL UNDERSTANDING

The ability to understand and learn organizational power relationships, recognize the real decision makers and the individuals who influence them, and demonstrate a comprehensive awareness of the impact and implications of decisions and actions throughout the organization. Includes the ability to predict how new events or situations will affect individuals and groups within the organization.

- Understands the rules, policies and laws that govern the work and exercises judgement in making necessary interpretations
- Involves others in making decisions when appropriate

III. COMMUNICATION

QUALITY AND CUSTOMER ORIENTATION

Creates an atmosphere in which timely and high quality information flows smoothly between self and others and in which open, honest and constructive expression of ideas and opinions is encouraged. A concern for helping or serving others.

Understanding, sensitivity, building trust

- Exhibits composure and straightforwardness
- Addresses misunderstandings and misperceptions directly and clearly
- Communicates with an eye toward people's level of understanding or interest
- Builds rapport, establishes strong, cooperative working relationships and interacts with a variety of people
- Creates an atmosphere of trust by interacting openly and directly and encouraging others to express contrary viewpoints
- Provides support, appreciation and recognition to others including staff

PERSUASION

The ability to negotiate, persuade, convince or influence others to take a course of action they might not otherwise take in order to achieve a specific result, gain acceptance of an idea, plan, activity or product and the ability to bring conflicts and disagreements into the open to resolve them collaboratively.

- Demonstrates diplomacy and tact
- Effectively manages differences and resolves conflict by confronting problems openly and constructively
- Is able to get a point across without offending others
- Uses information or data effectively to persuade and support a position
- Understands the audience sufficiently

SPEAKING EFFECTIVELY

The ability to express and present thoughts and complex ideas clearly, succinctly, and in an understandable manner individually and in groups including adjusting language or terminology to the characteristics and needs of the audience.

- Speaks frankly and clearly and insures that others understand the meaning of what is being communicated
- Listens to and responds to the ideas of others
- Is direct and to the point in communication delivery
- Listens to questions; anticipates impact of decision before providing a factual answer or recommended options
- Balances courtesy with being firm
- Demonstrates effective nonverbal communication
- Makes the subject as interesting as possible for the audience

IV. THINKING AND PROBLEM-SOLVING

CREATIVITY/PROBLEM-SOLVING

The ability to generate ideas, fresh perspectives and original approaches and to engage in open-minded thinking; "thinks out of the box" and goes beyond traditional ways to address issues despite obstacles or resistance.

- Develops or supports the introduction of new and improved methods, procedures or technologies
- Demonstrates commitment to original ideas
- Applies a creative approach to problem solving
- Is willing to accept ideas from others
- Encourages open communication and an environment where staff is free to express their ideas and apply creative solutions to problems

Visionary

- Thinks "out of the box" to see the bigger picture
- Exhibits an awareness of other bigger issues and plans ahead, taking these issues into consideration
- Applies a broad perspective to problem-solving
- Maintains the proper perspective between the overall picture and the details
- Doesn't give up when told that something won't work or is a "bad idea"
- Has the ability to utilize non-traditional approaches to large problems

ANALYTICAL THINKING

The ability to break down problems into component parts and consider or organize parts in a systematic way; the process of looking for underlying causes or thinking through the consequences of different courses of action.

- Demonstrates the ability to organize work by taking large projects and breaking them into manageable pieces
- Maintains an awareness of the interrelationships among activities in a project; planning work assignments and resource allocation accordingly
- Anticipates obstacles realistically when planning
- Uses judgement; takes a logical approach to problems and reasons things through
- Exhibits an interest in studying the "best practices" aspect of an issue by demonstrating continuous learning

Perceptive/insightful

- Observes/perceives what is going on around them as they focus on resolving a problem
- Puts a problem in context, recognizes risks and understands situational variables

V. INFLUENCE

LEADERSHIP AND MENTORING

Ensures successful project outcomes by making sure all those within and outside the organization who are key to success have the information and training needed to coordinate and get the job done.

- Models the behaviors you desire in your own staff

- Actively promotes information sharing across organizational levels and functional boundaries
- Acts as a resource to others by sharing ideas and best practices
- Gives people the tools needed to get the job done and the opportunities to grow in their jobs
- Reacts positively to problems or challenges as they arise with a “can do” attitude
- Provides staff with clear expectations and validates their accomplishments

Trains and coaches others

- Acts as a coach, mentor and motivator.
- Serves others by sharing insights and knowledge, and supports others with constructive coaching

RELATIONSHIP BUILDING

Builds long-term internal and external relationships with people critical to work/project success, both for current needs and in anticipation of future endeavors.

- Earns trust and respect of others by coaching, inspiring and empowering them to achieve objectives
- Consistently treats others fairly and with respect
- Builds enduring customer relationships
- Brings conflict and disagreements into the open and attempts to resolve them collaboratively, building consensus, keeping the best interests of the organization in mind, not only one's own interest

VI. COMMITMENT

COMMITMENT TO ORGANIZATION/MISSION OF AGENCY

Acting to align one's behavior with the needs, priorities and goals of the organization; acting in ways which promote organizational goals or meet organizational needs.

- Expresses pride in the work of the organization
- Demonstrates dedication to public service
- Consistently acts out the values and goals of the organization
- Gains personal satisfaction from work

VII. KNOWLEDGE

May be developed using minimum knowledge areas for all managerial jobs in the department, or on an individual job basis, including knowledge specific to the program areas being managed.

ADDENDUM B

DEPARTMENT OF REVENUE

APPRAISER - COMPETENCY MODEL

DRAFT

CATEGORY: COMMITMENT

DEFINITION: Ability and willingness to align behavior with the needs and goals of the organization and provide a visible role model for others. Implies feeling ownership of and accountability for the organization's activities, services, decisions, successes and failures. Employees with a strong sense of commitment demonstrate an understanding of the link between their own job responsibilities and overall organizational goals and needs, and subsequently perform their job with the broader goals in mind.

COMPETENCY: Commitment to profession, keeps current

Definition: Desires and actively seeks continuous learning in profession. Willingness to meet changing requirements in work or direction.

Behaviors

- Takes initiative to seek further training either by requesting it through their supervisor or enrolling in college or advanced course on their own
- Shows willingness to initiate projects
- Adapts well to changing situations and to charge itself
- Seeks information from outside sources
 - publications
 - other offices in and out of the Courthouse
 - real estate offices
 - builders and fee appraisers
- Has professional and personal affiliations with related to their work

CATAGORY: COMMUNICATION

DEFINITION: Ability to provide timely and concise information to others both orally and in writing as well as helping others communicate effectively by ensuring that communication occurs among all organizational levels and with all appropriate people and by encouraging open expression of ideas and opinions

and listening effectively, transmitting information accurately and understandably, and actively seeking constructive feedback.

COMPETENCY: Quality and customer Orientation/Listening

Definition: Gives full attention of other's ideas, concerns, questions and issues with interest, empathy and objectivity. Paraphrases and asks clarifying questions to ensure understanding of the message.

Behaviors:

- Listens, probes, understands
- Restates the message accurately
- Listens and does not interrupt
- Asks questions or requests more information to increase understanding.

CATEGORY: INITIATIVE AND ACCOUNTABILITY

DEFINITION: Proactively focuses efforts and energy on successfully attaining goals and objectives, making difficult decisions and persisting even when confronted by obstacles and /or adversity. This includes assuming accountability for decisions, actions, and result and following issues through to completion as well as pointing out problems/asking questions other may have overlooked or been reluctant to acknowledge and questioning status quo assumption. Essential is the ability to understand power relationships in organizations and identify true decision-makers and the individuals who influence them.

COMPETENCY: Decision-Making

Definition: Uses good judgement and makes sound, well-informed decisions that result in fairness and consistency, taking accountability for actions.

Behaviors:

- Can make decisions and set priorities
- Willing to backup or support work-the buck stops here
- Works independently with little supervision

COMPETENCY: Independence and Responsibility/Self-confidence, Tough minded, self-starter.

Definition: Believes in ones own capabilities and convictions, even when faced with resistance, and projects a positive self-image in the workplace. Has motivation and initiative, and seeks increased responsibilities.

Behaviors:

- Is decisive and confident in own knowledge, skills and abilities
- Shows willingness to initiate projects
- Welcomes challenge/views a challenge as an opportunity
- Inner directed

CATAGORY: INFLUENCE

DEFINITION: Influence is used to transform thought into productive action. All the competencies in the Thinking and Problem Solving category must be supplemented by the Influence competencies in order to actually make things happen. Influences successful outcomes by sharing knowledge and information within the work unit and across organizational lines, mentoring others, building relationships key to success by establishing trust, credibility and rapport with key players and customers, as well as using an awareness of the organization (i.e. how to log work, politics, etc.) and knowledge of the different roles and power positions within the organization to positively affect results.

COMPETENCY: Leadership and Mentoring

Definition: Ensures successful project outcomes by making sure all those within and outside the organization who are key to success have the information and training needed to coordinate and get the job done. Shares project and personal knowledge and experience in a willing and non-possessive manner and has the ability to be a good teacher. Mentors others in their "weak areas" to improve the performance necessary to achieve success.

Behaviors:

- Demonstrates leadership abilities
- Is tactful and patient when responding to requests for help from team members
- Can set tone of team atmosphere by demonstrating positive attitude in adverse situations/discussions

CATAGORY: PERSONAL EFFECTIVENESS

DEFINITION: This competency category describes qualities generally associated with personal maturity and an employee's inclination to consistently adhere to high levels of ethical behavior. These competencies include an employee's ability to put customers and co-workers at ease through awareness of, and consideration for, the opinions and feelings of other people, the ability to sense

how others are feeling and demonstration of a positive attitude and stable tone in their work relationships. This category is related to INFLUENCE, however, it applies to more personal, one-on-one relationships or contacts, with INFLUENCE more closely tied to organizational level effectiveness.

COMPETENCY: Teamwork

Definition: Ability to develop cooperation and teamwork while working toward solutions that generally benefit all involved parties.

Behaviors:

- Is complimentary to group members on their area of knowledge
- Will support consensus of group
- Shows willingness to express own views on issues before the group/team—Shares ideas
- Demonstrates willingness to help other team members accomplish goals or work - helps determine common goals and works toward achievement of those goals -can take constructive criticism and is able to give it, when necessary -willing to jump in and help

COMPETENCY: Interpersonal Understanding

Definition: Building strong work relationships and adjusting to how individuals, organization units and cultures function and react; the ability to sense how others are feeling and foster rapport with coworkers and customers.

Behaviors:

- Compassionate
- Nonjudgmental
- Supportive
- Sincere
- Displays a sense of humor
- Be willing and able to recognize their own limitations
- Creates an Atmosphere of Trust with the Taxpayer
- Diplomatic/open minded/shows flexibility
- Sees both sides
- Gauges audience
- Interacts positively with fellow workers
- Accepts constructive criticism from taxpayers, supervisors or fellow employees
- Relates and interrelates with different types of personalities/fellow employees, taxpayers, various governmental entities

COMPETENCY: Professionalism

Definition: The ability to maintain focus and effectiveness, emotional control and maturity, and remain positive and composed under stress, change or transition.

Behaviors:

- Does job in a professional (be able to explain self/have knowledge and put it to use), accurate and timely manner
- Effectively handles highly stressful situations and volatile taxpayers in a calm manner.

CATAGORY: THINKING AND PROBLEM SOLVING

DEFINITION: This competency category identifies those competencies needed to think clearly and logically, to identify and solve problems, and to use reason, vision, and creativity to reach conclusions and decisions. It is demonstrated through the ability to understand cause and effect relationships, to recognize similarities and differences in situations, and to apply knowledge to help make effective decisions, or to come up with new ways to accomplish a task.

COMPETENCY: Analytical Thinking/Ability to plan, organize, gather information, conduct research.

Definition: The ability to break problems into component parts and consider or organize parts in a systematic way; the process of looking for underlying causes or thinking through the consequence of different courses of action.

Behaviors:

- Independently researches for information and solutions to issues
- Ability to know what needs to be done or find out (research) and take steps to get it done
- Asks questions when not sure of what the problem is or to gain more information
- Able to identify the underlying or main problem-sorts out the extraneous information
- Shows willingness to experiment with the computer system
- Working with market modeling, spreadsheets, and selectabilities
- Demonstrates ability to work with various software

COMPETENCY: Analytical Thinking. Takes a reasonable, common sense approach to solving problems

Definition: Develops feasible solutions based on logical assumptions and factual observations that reflect consideration for resources, constraints, organizational values and goals.

Behaviors

- Abstract reasoning skills
- Reasons subjectively
- Analyzes information
- Assimilates data
- Applies math skills to spreadsheets and appraisal process
- Writes selects
- Models income and market
- Assigns grades and CDUs

COMPETENCY: Creativity/Problem Solving. Inquisitive, curious, entrepreneurial, resourceful

Definition: Seeks diverse ideas and perspectives in an open-minded manner from traditional and nontraditional sources. Seeks alternative, new or nontraditional approaches. Takes calculated risks, generates non-routine, non-traditional actions to overcome obstacles and achieve results.

Behaviors

- Shows a desire to learn, use and become more proficient at use of computer and associated software
- Not afraid to experiment with computer
- Shows a creative ability in solving problems and providing solutions
- Shows ability to apply the knowledge gained through training and education
- Willingness and desire to learn new techniques

CATAGORY: KNOWLEDGE

DEFINITION: The knowledge and skills necessary to perform the work. These may be gained from past experience, education or on the job training. Generally a job application will include this information.

Real Estate Experience

- Understands market value and advalorem taxes
- Understands highest and best use
- Is familiar with appraisal terminology and technology
- Ability to see trends in the market

- Person has been a real estate agent
- Understands and can display knowledge of market comparisons
- Agricultural Experience
- Knows about and is familiar with farm implements and farm buildings and outbuildings
- Is familiar with land uses, crops, potential yield and irrigation
- Can positively interact with rancher/farmers on their level
- Knows farm/ranch terminology/technology

Construction Experience

- Knowledge of quality, materials, techniques, costs of building materials and structure types of buildings
- Can communicate effectively with builders and contractors

Ability to Convert Legal Descriptions into Map Locations; Math Education

Definitions and behaviors consistent with the Statewide Model were added or modified in places where this draft did not clearly include them or differed greatly from the language of the Statewide Model. The choice of competencies and wording of behaviors was not altered in any other way.

ADDENDUM C
Pilot Project
Competency Model Set Up

Commitment (CMT)

- 1 Loyalty/dedication -
- 2 Commitment to organization/mission of agency -
- 3 Commitment to profession/keeps current -
- 4 Commitment to serve the public -
- 5 Reliable/dependable -

Communication (COM)

- 1 Customer orientation -
 - A Listening -
 - B Responsiveness, follow up -
 - C Understanding, sensitivity, building trust -
- 2 Persuasion
 - A Influential -
 - B Negotiation ability -
 - C Conflict management -
 - D Facilitation -
- 3 Speaking effectively -
- 4 Writing effectively -

Initiative and Accountability (INA)

- 1 Decision making -
 - A Initiative -
 - B Judgment-
 - C Decisiveness -
- 2 Efficiency/focus -
 - A Prioritizing, multi-tasking, balancing multiple projects -
 - B Accuracy, attention to detail/quality -
 - C Results-oriented, meets deadlines -
 - D Perseverance and concentration -
 - E Quality –
 - F Achievement -

- 3 Independence and responsibility -
 - A Action-oriented -
 - B Accepts risks -
 - C Personal accountability and ownership -
 - D Self-starter -
 - E Self-confidence, tough-minded -
- 4 Organizational understanding -
 - A Organization savvy -
 - B Organizational awareness -
 - C Business mindedness-

Influence (INF)

- 1 Leadership and mentoring -
 - A Shares information, feedback, knowledge -2-ways -
 - B Is a good teacher -
 - C Trains and coaches others -
 - D Steps into a leadership role -
- 2 Relationship building -
 - A Builds trust/credibility in work relationships -
 - B Maintains relationships -
- 3 Networking
 - A Builds networks necessary to achieve outcomes -
 - B Uses the organization to its best advantage -

Personal effectiveness (PE)

- 1 Self-knowledge/personal awareness -
 - A Good sense of self/takes positive steps to improve -
- 2 Ethics
- 3 Interpersonal understanding -
 - A Non-judgmental, tolerant -
 - B Rapport/respect -
 - C Empathy, sensitivity to others -
- 4 Professionalism
 - A Maturity/ emotional discipline -
- 5 Flexibility/adaptability
 - A Open-minded -
 - B Willingness to change -
- 6 Teamwork
 - A Team building -
 - B Shares workload or pulls own weight -
 - C Cooperative -
 - D Builds and fosters supportive relationships -

Thinking and problem-solving (TPS)

- 1 Analytical thinking
 - A Plan, organize, gather information, conduct research -
 - B Identify problems -
 - C Takes a reasonable, common sense approach to solving problems -
 - D Perceptive/insightful -
- 2 Creativity/Problem-solving
 - A Innovative -
 - B Inquisitive/curious -
 - C Resourceful and entrepreneurial -
 - D Visionary -
 - E Change agent -

Knowledge competencies:

Need follow-up:

NOTES

¹ Hay Group, et. al, (1996) *Raising the Bar: Using Competencies to Enhance Employee Performance*, American Compensation Association.

² "Introduction to Competency Modeling", Linkage, Inc., 1996.

³ Spencer, Lyle M., Jr. and Signe M., (1993), *Competence at Work: Models for Superior Performance*, John Wiley & Sons, Inc. Publishing.





A GUIDE TO INTEGRATING COMPETENCIES INTO MONTANA'S HUMAN RESOURCE PROGRAMS



STATEWIDE COMPETENCY MODEL REVISED 2002

INDEX

INTRODUCTION.....	4-3
COMPETENCIES.....	4-5
COMMITMENT.....	(Pink) 4-7
LOYALTY AND DEDICATION (CMT).....	4-7
COMMITMENT TO A PROFESSION (CMT).....	4-8
COMMITMENT TO SERVE THE PUBLIC (CMT).....	4-9
RELIABLE AND DEPENDABLE (CMT).....	4-10
COMMUNICATION	(Green) 4-11
CUSTOMER ORIENTATION (COM).....	4-11
Listening (COM).....	4-12
Responsiveness, Follow-up (COM)	4-13
Understanding, Sensitivity, Trust Building (COM).....	4-14
PERSUASION (COM).....	4-15
Influential (COM).....	4-16
Negotiation (COM)	4-17
Conflict Management (COM)	4-18
Facilitation (COM)	4-19
SPEAKING EFFECTIVELY (COM).....	4-19
WRITING EFFECTIVELY (COM)	4-20
INITIATIVE AND ACCOUNTABILITY	(Blue) 4-22
DECISION MAKING (INA).....	4-22
Judgment (INA).....	4-23
Decisiveness (INA)	4-24
INITIATIVE (INA).....	4-25
EFFICIENCY AND FOCUS (INA).....	4-26
Prioritizing, Multi-tasking, Balancing Multiple Projects (INA)	4-27
Quality, Accuracy, Attention to Detail (INA)	4-28
Results Oriented (INA)	4-28
RESPONSIBILITY AND INDEPENDENCE (INA)	4-30
Self-Starter (INA)	4-31
Personal Accountability and Ownership (INA)	4-32
Self Confidence (INA)	4-33
ORGANIZATIONAL AWARENESS (INA)	4-34
INFLUENCE.....	(Orange) 4-36
LEADERSHIP (INF)	4-36
Shares Information, Feedback and Knowledge (Two-Way Communication) (INF).....	4-37
Trains, Coaches and Teaches Others (INF).....	4-38
Provides Leadership (INF)	4-39

RELATIONSHIP BUILDING (INF).....	4-40
NETWORKING (INF).....	4-41
Builds Networks Necessary to Achieve Outcomes (INF).....	4-42
Uses the Organization to Its Best Advantage (INF)	4-43
PERSONAL EFFECTIVENESS.....(Yellow)	4-45
SELF-KNOWLEDGE AND PERSONAL AWARENESS (PEF)	4-45
ETHICS (PEF)	4-46
INTERPERSONAL UNDERSTANDING (PEF).....	4-48
Non-judgmental and Tolerant (PEF)	4-49
Rapport (PEF).....	4-49
Empathy (PEF).....	4-50
MATURITY AND EMOTIONAL DISCIPLINE (PEF).....	4-50
FLEXIBILITY AND ADAPTABILITY (PEF).....	4-51
TEAMWORK (PEF).....	4-52
Team Building (PEF).....	4-53
Cooperative/Shares Workload (PEF).....	4-55
THINKING & PROBLEM-SOLVING.....(Violet)	4-56
ANALYTICAL THINKING (TPS).....	4-56
Plan, Organize, Gather Information and Conduct Research (TPS)	4-57
Identify Problems (TPS)	4-59
Take a Reasonable, Logical Approach to Solving Problems (TPS).....	4-59
Perceptive and Insightful (TPS).....	4-60
CREATIVITY AND PROBLEM-SOLVING (TPS)	4-61
Innovative (TPS).....	4-63
Inquisitive or Curious (TPS)	4-63
Resourceful and Entrepreneurial (TPS).....	4-64
Visionary (TPS)	4-65
Change Agent (TPS)	4-66

INTEGRATING COMPETENCIES INTO MONTANA'S HUMAN RESOURCE PROGRAMS

A STATEWIDE COMPETENCY MODEL

The State of Montana Competency Guide defines competencies as sets of **measurable** and **observable** knowledge, skills, and behaviors that contribute to success in a job. Competencies predict success and drive organizational and individual performance.

For practical purposes, the statewide competency model forms a competency "dictionary", which defines different ways that state employees gain success in their jobs. No single employee will display all of the listed behaviors. The generic nature of the competency categories and the supporting behaviors are adaptable to all types of jobs, roles and agencies. This model was built to serve as a basis for other components of an integrated human resource system, such as performance management, training and career development, recruitment and selection, and compensation.

This statewide competency model consists of six competency categories developed for the state's Human Resource Competency Project based on input from state employees. Participants in twenty-eight occupational focus groups provided information about competencies and supporting behaviors that distinguish top performers from others in similar jobs. The model represents a broad range of behaviors and traits that state employees and managers have indicated will predict success for a wide variety of jobs in the state's existing workforce.

Identifying and defining these statewide competencies form an integral part of performance management and provide the basis for an integrated human resource management system. This model does not list the statewide competencies in any order of priority or importance. Each agency may set priorities or weight the competencies at the job or work unit level.

Behavioral indicators listed after each competency contain the information that experts from each agency gave the modeling team during focus group sessions. The behavior lists are a combination of those listed during the focus group sessions conducted during 1997 and those behaviors identified through the focus groups conducted in 2001. This data reflects how top performing state employees display competency in different occupations.

Proficiency levels describe levels of competency required to perform a specific job successfully. They cover a range of proficiency in terms of behavioral indicators. These levels relate to the work performed in a given job, not to the performance of the person in the job. Different jobs require different levels of proficiency for successful performance. Not all jobs will require the highest level of proficiency and some may not require certain competencies at all.

Proficiency levels apply to knowledge as well as behavioral competencies. Whether knowledge or behavioral, more of any competency is not always better. For example, a hydrologist in the Department of Natural Resources may need to have Proficiency Level 5 (Expert) knowledge in the field of hydrology and Proficiency Level 3 (Good) knowledge of state water laws to perform the work. An attorney in the same agency would need Proficiency Level 5 knowledge of state water laws to represent the agency in court and Proficiency Level 2 (Basic) or even Level 1 (Limited) knowledge of hydrology. A hydrologist with Level 5 knowledge of water laws will probably not be any more successful than one with Level 3 knowledge of water laws in that specific job. Neither would higher levels of knowledge of hydrology increase the attorney's ability to argue cases in court. The same reasoning can be applied to behavioral competencies, such as Communication. Some jobs require higher proficiency in oral or written communication than others. Proficiency levels can also predict needed training for staff development, help establish performance management goals and provide valuable background information for organizational planning and change.

The following ideas represent a few of the many ways to use this model. Browsing through the index or reading the definitions may help during menuing sessions to identify competencies critical to success in a job or work unit. When defining performance goals for subordinates, a manager can find ideas for behavioral indicators of "Flexibility/Adaptability," for example, by reading the list under that subcategory. These behaviors are generic and can be used either unchanged or modified to fit specific circumstances or needs. Agencies or managers can customize these behavioral statements to make them specific to work units and occupations, using occupational terminology when applicable. In this way, they become meaningful to employees by providing the information needed to show competency improvement. Recruitment and selection tools need to consider the proficiency levels required of the most important competencies for the vacant job in order to select the candidate most likely to be successful in the position. In the selection process, the interview team can use this model to focus interview questions on selected behaviors and competencies important to the position.

STATEWIDE COMPETENCIES

COMMITMENT (CMT)

Ability and willingness to align behavior with the needs and goals of the organization and provide a visible role model for others. Holds self accountable for organizational activities, services, decisions, successes and failures. An employee with commitment demonstrates an understanding of the link between his/her own job responsibilities and overall organizational goals and needs and, subsequently, performs the job with broader goals in mind.

COMMUNICATION (COM)

Provides timely and concise information to others verbally, nonverbally and in writing, and helps others communicate effectively. An employee with strong communication skills ensures that communication occurs at all organizational levels, between all appropriate people and encourages open expression of ideas and opinions. They listen effectively, transmit information accurately, understandably and appropriately and actively seek constructive feedback.

INITIATIVE AND ACCOUNTABILITY (INA)

Focuses efforts and energy on successfully attaining organizational goals and objectives. This includes making difficult decisions and persisting even when confronted by obstacles or adversity and may involve questioning status quo assumptions. These employees assume accountability for decisions, actions, and results, follow through on issues to completion, point out problems and ask questions others may have overlooked or been reluctant to acknowledge. Requires an understanding of organizational relationships, identification of decision-makers, and the relationship of positions within the agency.

INFLUENCE (INF)

Transforms thought into productive action. Creates successful outcomes by sharing knowledge and information within the work unit and across organizational lines. This includes mentoring others, building relationships key to success by establishing trust, credibility and rapport with key players and customers. These employees use awareness of the organization (i.e. structure, centers of authority, decision-making roles) and knowledge of the different roles and power positions within the organization to positively affect results. (*This competency is closely tied to global or organizational effectiveness rather than one-on-one, personal contacts and business relationships as described under PERSONAL EFFECTIVENESS.*)

PERSONAL EFFECTIVENESS (PEF)

Puts customers and co-workers at ease through awareness of, and consideration for, the opinions and feelings of other people. Senses how others are feeling and sets a positive and stable tone in work relationships. (*This competency category describes qualities generally associated with personal maturity and an employee's inclination to consistently adhere to high levels of ethical behavior. This category is related to INFLUENCE, however, it applies to more personal, one-on-one relationships or contacts, while INFLUENCE is closely tied to global or organizational effectiveness.*)

THINKING & PROBLEM-SOLVING (TPS)

Uses reason and logic to identify and solve problems. These employees use reason, vision, and creativity to reach conclusions and decisions. Understands cause and effect relationships, recognizes similarities and differences in situations, and applies knowledge to help make effective decisions or to come up with new ways to accomplish a task.

KNOWLEDGE

An organized body of information that is possessed by an employee and required in order to perform the designated job. Definition of the specific areas or kinds of knowledge required to perform a given job are maintained in PeopleSoft.

SKILL

An expertise, art, trade, or technique, especially one requiring use of hands or body. Definition of the specific areas or kinds of skill required to perform a given job are maintained in PeopleSoft.

COMMITMENT

Ability and willingness to align behavior with the needs and goals of the organization and provide a visible role model for others. Holds self accountable for organizational activities, services, decisions, successes and failures. An employee with commitment demonstrates an understanding of the link between his/her own job responsibilities and overall organizational goals and needs, and subsequently performs the job with broader goals in mind.

COMMITMENT competency categories:

- **LOYALTY AND DEDICATION**
 - **COMMITMENT TO A PROFESSION**
 - **COMMITMENT TO SERVE THE PUBLIC**
 - **RELIABLE AND DEPENDABLE**
-

LOYALTY AND DEDICATION (CMT)

Adheres to organizational goals and the tasks at hand. Aligns actions and activities with the needs and goals of the organization.

Behaviors

- Helps and supports fellow employees in their work to contribute to overall organizational success
- Exhibits long-term commitment to the organization
- Maintains loyalty when agency leadership changes
- Demonstrates dedication to community service
- Is aware of position as it relates to the needs of the state of Montana
- Does not hesitate to do extra work when required and as appropriate
- Exhibits a sense of ownership in a project or the resolution of a problem
- Consistently models the values and vision of the organization
- Demonstrates individual effort in support of organizational mission and goals
- Makes decisions that benefit the organization even if the decisions are unpopular
- Looks for opportunities for improving work methods and outcomes to the overall benefit of the organization
- Aligns own activities and priorities to meet organizational needs
- Actively seeks to identify and remove barriers which block change and impede organizational success
- Expresses pride in the work of the organization
- Understands and believes in the mission of the organization

Proficiency Levels

- 1 Seeks to act as part of the team; gains understanding of how tasks are accomplished in the work area; performs with entry level understanding; respects and accepts management objectives and goals; accepts the organizational vision and mission.
- 2 Positively supports and accepts the goals and objectives of the work area and the agency; helps others accomplish tasks to contribute to the overall success of the organization.
- 3 Supports the organization's mission and goals; makes choices and sets priorities to meet the organizational needs and priorities; cooperates with others to achieve organizational objectives; publicly displays the mission of the organization; maintains loyalty to the organization, even during periods of transition and change.
- 4 Exhibits sense of ownership of projects; consistently puts individual goals and needs secondary to organizational goals and needs; exhibits professional identity and preferences in the community and at work which align with organizational mission and goals; maintains loyalty to the organization through periods of transition and change.
- 5 Participates, supports and assists in the decision process to benefit the organization, even if unpopular or controversial with those affected; balances own work area's short-term goals with the long-term goals of the organization; does not hesitate to provide leadership in order to meet the organizational strategic needs; encourages others to maintain loyalty to the organization through periods of transition and change.

COMMITMENT TO A PROFESSION (CMT)

Maintains a level of knowledge to remain current; desires and actively seeks continuous learning in a profession.

Behaviors

- Keeps current professionally and continually strives to improve ability to apply new knowledge
- Demonstrates a desire and willingness to excel, to improve and to be proficient in the position
- Understands the importance of the position
- Actively seeks out learning opportunities in the profession

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Exhibits the willingness to participate in the process of on-going training and professional development; demonstrates an interest in professional development courses, on-the-job training, job-related conferences and training and professional publications.
- 3 Seeks out opportunities and assignments to improve professional skills; analyzes current job performance and demonstrates a desire to increase proficiency; participates in on-the-job training and in professional development opportunities.
- 4 Creatively secures avenues for career planning and development in the profession; consistently and actively participates in continuous learning by volunteering to attend conferences, classes and training seminars; keeps current with developments in the profession; displays an attitude that work in the profession is important.
- 5 Considered an expert in current developments in the profession; active participant in long-term career planning and development in the profession; proactively shares current information about the profession with others; advocate of the profession to others; uses experience and new learning to effectively modify work-related practices and to be more effective.

COMMITMENT TO SERVE THE PUBLIC (CMT)

Performs duties for the benefit of the people of the State of Montana. Avoids taking actions that depart from public duty or violates the public trust.

Behaviors

- Makes an individual commitment to be responsive to customer needs
- Anticipates customer needs and develops or provides services to meet those needs
- Has an "accountability" attitude; remains sensitive to the public nature of state funding and exercises individual and professional "ownership" in using all resources in the most efficient manner
- Experiences personal satisfaction in serving the public

Proficiency Levels

- 1 Exhibits an understanding of the balance between individual goals and needs and the organizational and customer goals and needs.
- 2 Actively strives to serve the public with care and accountability; demonstrates cooperation.

- 3 Consistently anticipates the needs of the organization and customer to ensure that those needs are met; provides services without specific direction.
- 4 Is sensitive to the public nature of state funding and exercises ownership in using all resources in the most efficient manner while providing the services to meet customer needs.
- 5 Carries out the vision and goals of the organization; is relied upon by others as a source for valid information; develops and maintains long lasting working relationships with subordinates, peers, and customers.

RELIABLE AND DEPENDABLE (CMT)

Reliable and dependable in performing job-related tasks.

Behaviors

- Follows through and meets commitments and agreements in a timely manner
- Relied upon by others as a source for valid information
- Maintains a consistent and predictable schedule
- Comes to work on time
- Demonstrates a good attendance record
- Can be counted on to meet deadlines

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Comes to work on time as scheduled. Responds to work assignments and requests by being cooperative and available; demonstrates a good attendance record; is aware of the impact that missing work will have on the customer as well as co-workers
- 3 Recognizes the relative importance of certain tasks and responsibilities and has the ability to prioritize to ensure that deadlines are met; follows through with commitments .
- 4 Actively demonstrates commitment by maintaining a consistent and predictable work schedule; actively demonstrates dependability and importance of work to customer and peers.
- 5 Is relied upon by others as a source for valid information; develops reliable working rapport with customer and peers; follows through and meets commitments; available as a resource to subordinates and peers.

COMMUNICATION

Provides timely and concise information to others verbally, nonverbally and in writing and helps others communicate effectively. An employee with strong communication skills ensures that communication occurs among all organizational levels, between all appropriate people and encourages open expression of ideas and opinions. They listen effectively, transmit information accurately, understandably and appropriately and actively seek constructive feedback.

COMMUNICATION competency categories:

- **CUSTOMER ORIENTATION**
 - **PERSUASION**
 - **SPEAKING EFFECTIVELY**
 - **WRITING EFFECTIVELY**
-

CUSTOMER ORIENTATION (COM)

Creates an atmosphere in which timely and high quality information flows smoothly between self and customer. Encourages open, honest and constructive expression of ideas and opinions. Demonstrates active listening skills. Uses appropriate body language. Seeks to understand others' viewpoint. Analyzes the customer needs and adjusts to the perspective of the customer, when appropriate.

Behaviors

- Actively listens, probes, understands
- Restates or summarizes the message accurately
- Listens without interrupting or judging
- Asks questions or requests more information for further understanding
- Proactively informs and resolves problems/issues with customer
- Views situations from customer perspective to better respond to their needs and concerns
- Responds directly and thoroughly to questions
- Follows up to make sure that customer expectations have been met
- Listens to and demonstrates compassion or sensitivity towards others' viewpoints and opinions
- Addresses misunderstandings and misperceptions directly and clearly
- Aware of and sensitive to subtle cues in relationships and communications (body language, personal agendas) that may differ from the spoken word
- Maintains eye contact appropriate to the situation

- Uses appropriate tone of voice and demonstrates suitable body language
- Is sensitive and uses good judgment in receiving, communicating, and managing confidential information
- Builds rapport, establishes strong, cooperative working relationships and interaction
- Provides support, appreciation and recognition to others
- Creates an atmosphere of trust by interacting openly and directly
- Gives and solicits feedback frequently and consistently
- Strives for a shared understanding of the situation by all of those involved

Proficiency Levels

- 1 Interacts with the customer in an open and honest way; seeks understanding of others' viewpoints through active listening.
- 2 Assumes responsibility for an appropriate level of customer service; builds good relationships by encouraging others to express viewpoints; shows respect through active listening.
- 3 Contacts and consults with the customer routinely; shows follow-through; interacts openly and honestly with appropriate feedback; actively listens and evaluates in a non-judgmental manner.
- 4 Proactively seeks consultation with the customer about strategic issues, problems and expectations; actively provides support, recognition and appreciation; establishes, maintains and uses network; willingly shares information as appropriate for the position.
- 5 Anticipates the needs of the customer and proactively communicates information; recognizes and initiates opportunities to meet the customer's needs; is sought as an expert and resource in the area of customer satisfaction; consistently chooses the best method of communicating the message to each customer or audience at an appropriate level of understanding and interest.

CUSTOMER ORIENTATION competency categories:

- Listening
- Responsiveness, Follow-up
- Understanding, Sensitivity, Trust Building

Listening (COM)

Gives full attention to and makes a conscious effort to hear other's ideas, concerns, questions and issues with interest, empathy and objectivity. Paraphrases and asks clarifying questions to ensure understanding of the message when required.

Behaviors

- Actively listens, probes, understands

- Restates or summarizes the message accurately
- Listens without interrupting or judging
- Uses "listening" body language
- Asks questions or requests more information to further understanding

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 This level is not measured for this competency.
- 3 Increases listening skills through training and practice; asks clarifying questions for increased understanding.
- 4 Actively listens to others; asks appropriate questions indicating interest in and knowledge of the message; focuses on the speaker without interruption; evaluates verbal statements and nonverbal behavior to gain insight of speaker; responds appropriately to speaker in non-judgmental manner.
- 5 Maintains sensitivity to and accurately assesses underlying causes and/or concerns of speaker(s) through enhanced listening skills; responds in an effective and appropriate manner to speaker(s)' issues and concerns.

Responsiveness, Follow-up (COM)

Assumes responsibility for and delivers on commitments to the customer. Initiates contacts to clarify issues or problems in a timely manner. Keeps the customer up-to-date about projects.

Behaviors

- Gets the message to the right people
- Develops in-depth understanding of customer needs in order to be more helpful
- Proactively informs and resolves problems/issues with the customer based on interests
- Understands customer perspective to better respond to needs and concerns
- Considers how different audiences, genders and cultures are likely to respond and chooses the best method of communicating the message to each audience
- Responds directly and thoroughly to questions
- Follows through to make sure that customer expectations have been met

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Takes initiative to learn about the customer and business and informs the customer of the status of projects or services; listen to concerns, issues or problems of the customer.

- 3 Maintains appropriate commitments to the customer; builds contacts and assumes responsibility for customer service.
- 4 Contacts and consults with the customer routinely to develop an understanding of customer needs; keeps in touch in order to avoid or solve problems and clarify misunderstandings; shows follow-through on issues presented by the customer.
- 5 Actively contacts and consults with the customer about strategic issues, problems and expectations; assists the customer in identification, process and follow-through.

Understanding, Sensitivity, Trust Building (COM)

Interacts openly and honestly. Encourages others to express viewpoints. Listens and respects different viewpoints. Addresses misunderstandings directly with those involved. Maintains confidences. Demonstrates an awareness of nonverbal as well as verbal communication. Elicits trust from others by showing honesty, reliability and integrity.

Behaviors

- Listens to and demonstrates compassion or sensitivity towards others' viewpoints and opinions
- Addresses misunderstandings and misperceptions directly and clearly
- Establishes and builds effective relationships by identifying and understanding needs
- Communicates at others' level of understanding or interest
- Aware of and sensitive to subtle cues in relationships and communications (body language, personal agendas) that may differ from the spoken word
- Maintains eye contact appropriate to the situation
- Uses appropriate tone of voice and demonstrates suitable body language
- Is sensitive and uses good judgment in receiving, communicating, and managing confidential information
- Builds rapport, establishes strong, cooperative working relationships and interaction
- Relates effectively at all levels of the organization
- Provides support, appreciation and recognition to others
- Creates an atmosphere of trust by interacting openly and directly, and encouraging others to express viewpoints
- Gives and solicits feedback frequently and consistently
- Participates fully in meetings by providing honest, well-considered information
- Strives for understanding by speaking frankly and clearly
- Exhibits composure and straightforwardness

Proficiency Levels

1 This level is not measured for this competency.

2 This level is not measured for this competency.

- 3 Develops an understanding of and is sensitive to others' viewpoints; interacts openly, honestly and reliably.
- 4 Builds good relationships by encouraging others to express viewpoints; shows respect for others' perspectives through active listening; interacts openly and honestly; gives and solicits constructive feedback; does not hesitate to address misunderstandings and problems directly with those involved while maintaining confidence; willingly shares information; consistently finds ways to obtain others' support.
- 5 Actively provides support, recognition and appreciation while maintaining confidences; encourages open and honest interaction; builds trust and confidence that encourages candor; establishes, maintains and uses networking to bring about change and to benefit the customer; participates fully in meetings and discussions by providing well-considered information presented in an honest and straightforward manner.

PERSUASION (COM)

Negotiates with, convinces, or influences others to take a course of action which might not otherwise be taken in order to achieve a specific result. Uses appropriate interpersonal styles and communication methods to gain acceptance of an idea, plan, activity or product. Brings conflicts and disagreements into the open, when appropriate, and attempts resolution collaboratively through building consensus.

Behaviors

- Presents compelling arguments to support positions
- Chooses an appropriate approach to gain agreement to an idea or course of action
- Influences directly or collaboratively as the situation requires
- Consistently finds ways to obtain others' support
- Uses information or data effectively
- Persuades others directly or collaboratively to adopt ideas, participate and contribute their efforts
- Works to identify and remove barriers to agreement
- Effectively presents organizational interests
- Effectively manages differences and resolves conflict by confronting problems openly and constructively
- Maintains focus on the issues and results
- Seeks solutions to conflicts that will satisfy the interests of multiple parties
- Keeps an open mind and is willing to alter opinions based on new information/different perspectives
- Demonstrates awareness of the overall relationship between those in conflict
- Keeps conflict situations from escalating by diffusing emotionally charged issues
- Focuses communication on situations not on people

- Demonstrates diplomacy and tact
- Finds value in each perspective; stays neutral
- Ensures that all participants are heard
- Effectively addresses difficult participants

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Chooses an appropriate approach to develop an idea or course of action; facilitates discussion and resolution of an issue.
- 3 Utilizes sound arguments through experience and accurate information to effectively support a position; participates collaboratively in resolving disagreements.
- 4 Presents compelling arguments to support positions; actively builds consensus and chooses best approach to gain agreement; able to move others to meet commitments.
- 5 Influences and convinces others to change opinions or viewpoints on strategic issues and problems; maintains effective working relationships in spite of disagreement or objections.

PERSUASION competency categories:

- Influential
- Negotiation
- Conflict Management
- Facilitation

Influential (COM)

Identifies and affects the interests of others. Convinces others of the merits of a particular idea, method, or course of action.

Behaviors

- Exercises good judgment regarding sensitive issues, verbal and non-verbal cues, etc. when trying to convince others
- Presents compelling arguments to support positions
- Chooses an appropriate approach to gain agreement to an idea or course of action
- Influences directly or collaboratively as the situation requires
- Consistently finds ways to obtain others' support
- Uses information or data effectively to persuade and support
- Gains customer or coworker acceptance of an idea, plan, activity or product

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Actively listens to affect ideas and courses of action; understands the interests of others; develops ability to use information to change opinions.
- 3 Reaches agreement by using flexible tactics recognizing individual and organizational issues; able to convince others to adopt positions by effectively presenting information, understanding others' positions and reactions.
- 4 Anticipates ideas and courses of action by understanding others' positions and reactions; utilizes expertise of others and recognizes when needed; builds behind-the-scenes support for ideas; able to lead or direct the group process.
- 5 Effectively directs and leads others through ideas and courses of action by understanding individual and organizational values; utilizes complex strategies by tailoring to the needs of individual or group situations to reach a goal or solution.

Negotiation (COM)

Anticipates the interests of others. Deals with objections. Influences others. Confers, discusses and bargains to reach agreement.

Behaviors

- Negotiates agreements that are acceptable to involved parties
- Works to identify and remove barriers to agreement
- Handles large scale negotiations with significant outcomes and that foster long-term relationships
- Asks for others needs and wants and seeks a "win-win" outcome
- Effectively presents the organizational interests

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Recognizes the principal stakeholders and decision-makers; sensitive to the need to bring all stakeholders on board and assure that their views are considered; seeks agreement.
- 3 Anticipates and appeals to the interests of others, especially potential opponents; uses appropriate techniques (i.e. consensus building, collaborative bargaining) to achieve results; achieves agreement; maintains good relationships following negotiations.
- 4 Negotiates regularly with multiple parties who may have different agendas; anticipates barriers to agreement; remains flexible and open-minded; skilled in

use of negotiating techniques; gains agreement by using flexible tactics, recognizing individual and organizational values and issues.

- 5 Conducts most difficult and large-scale negotiations; quickly gains the trust of other parties to the negotiations; demonstrates a good sense of timing; demonstrates leadership in influencing events; respected within the profession.

Conflict Management (COM)

Manages disagreements through open discussion with affected parties; seeks collaborative resolution while keeping the best interests of the organization in mind.

Behaviors

- Effectively manages differences and resolves conflict by confronting problems openly, constructively and appropriately
- Maintains focus on the issues and results during times of conflict
- Seeks solutions to conflicts which will satisfy the interests of multiple parties
- Maintains a willingness to alter opinions based on new information and different perspectives
- Demonstrates awareness of the overall relationship between those in conflict
- Keeps conflict situations from escalating by diffusing emotionally charged issues
- Focuses communication on situations rather than on persons involved
- Demonstrates diplomacy and tact

Proficiency Levels

- 1 Gains knowledge and actively participates in disagreement resolution in a collaborative manner, keeping the best interests of the organization in mind.
- 2 Takes the initiative in solving or helping to resolve problems when appropriate; maintains focus on issues and results; initiates attempts to resolve issues informally before they become major sources of concern.
- 3 Resolves disagreements collaboratively; anticipates potential problems and recommends preventive action; actively practices a variety of problem-solving techniques.
- 4 Determines origin of conflict, analyzes and proceeds in manageable steps; differentiates causes, symptoms, and perceptions; de-escalates conflict situations; maintains rapport with parties involved; applies negotiating and consensus building skills to arrive at acceptable solution.
- 5 Sought after and respected to resolve conflicts; demonstrates organizational and global awareness of the overall relationship between those in conflict; anticipates and addresses situations or issues with diplomacy, tact, and precision.

Facilitation (COM)

Manages the interaction of people in group settings to achieve a goal.

Behaviors

- Keeps meetings or other gatherings on track
- Finds value in each perspective; stays neutral
- Diffuses emotionally charged issues to focus on substance
- Ensures that all participants are heard
- Draws out group and helps it address conflicts and differences
- Effectively addresses difficult participants

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 This level is not measured for this competency.
- 3 Actively manages groups to achieve agreement or resolution of an issue; understands group dynamics and maintains personal distance; maintains a balanced level of participation; keeps group on track.
- 4 Adapts approach for managing groups to varying levels of participant experience and enthusiasm for the subject; controls difficult participants in an effective manner.
- 5 Regularly manages groups dealing with strategic issues and problems; utilizes analysis and dialogue to reach agreement on issues which the group can support as a whole; manages the group to meet objectives and goals and provide long-term benefits to the organization.

SPEAKING EFFECTIVELY (COM)

Expresses and presents thoughts and ideas clearly, succinctly, and in an understandable manner individually and in a group. Adjusts language, delivery or terminology to meet the needs of the audience. This competency includes any type of verbal communication, such as giving presentations, providing training, giving testimony, speaking in person or by telephone.

Behaviors

- Assesses audience's knowledge of a topic and uses appropriate language and terminology
- Uses creative repetition to get the point across and ensure group understanding
- Presents material, answers questions, etc. in an effective, compelling and concise manner
- Researches the audience in advance to know the needs and interests

- Presents ideas/information, including complex and technical material or ideas, in a logical sequence others can easily follow and understand
- Uses presentation aids (flip charts, overheads) effectively
- Demonstrates effective nonverbal communication; avoids distracting mannerisms
- Observes audience behavior during the presentation and alters delivery, if necessary
- Displays confidence and poise
- Uses humor appropriately
- Maintains eye contact, enunciates properly and projects voice while varying tone or inflection of speech to keep listeners' attention
- Uses active listening skills such as paraphrasing and summarizing
- Listens to the question, anticipates impact of decision before providing an answer or recommendation
- Asks probing questions in order to assess the situation
- Listens to and responds to the ideas of others
- Uses appropriate grammar and syntax when speaking

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Speaks effectively and in an organized manner in order to communicate messages and ideas.
- 3 Organizes and presents information and ideas in a clear and succinct manner; uses voice in an articulate manner; utilizes proper grammar and syntax; utilizes non-distracting, non-verbal communication.
- 4 "Reads" audience and modifies approach as needed; responds to questions effectively and in a non-threatening manner.
- 5 Regularly speaks to a wide variety of audiences; considered an expert in the area of the subject matter; presents complex and technical material or ideas in a manner others can easily follow and understand; anticipates the impact of the presentation or information on the audience and the organization.

WRITING EFFECTIVELY (COM)

Expresses and presents information and ideas in writing which is clear, succinct and understandable. Adjusts the language, writing style and terminology used to meet the need and level of understanding of the reader. Utilizes knowledge of the structure and content of the English language, including the meaning and spelling of words, rules of composition, and grammar. (*This competency includes any type of formal or informal written communication: i.e. letters, reports, studies, presentations, articles, rules, policies, procedures, manuals.*)

Behaviors

- Writes clearly, logically and effectively; eliminates unnecessary detail
- Uses correct grammar, spelling and punctuation and reviews work for accuracy
- Uses technical terms and acronyms appropriately
- Incorporates effective visual aids
- Demonstrates a thorough knowledge of the subject matter
- Adjusts the language, writing style and terminology used to meet the need and level of understanding of the reader

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 This level is not measured for this competency.
- 3 Presents information and ideas in writing so others will understand; material reflects an understanding of appropriate grammar and syntax; uses technical terms and acronyms only when appropriate.
- 4 Communicates with an awareness and sensitivity to the reader's level of understanding; utilizes knowledge of the structure and content of the English language, including the meaning and spelling of words, rules of composition, and grammar in written material.
- 5 Creatively produces a wide variety of written materials, effectively utilizes various styles of writing to communicate successfully to target a variety of audiences.

INITIATIVE AND ACCOUNTABILITY

Focuses efforts and energy on successfully attaining organizational goals and objectives. This includes making difficult decisions and persisting even when confronted by obstacles or adversity and may involve questioning status quo assumptions. These employees assume accountability for decisions, actions, and results, follow through on issues to completion, point out problems and ask questions others may have overlooked or been reluctant to acknowledge. Requires an understanding of organizational relationships, identification of decision-makers and the relationship of positions within the agency.

INITIATIVE AND ACCOUNTABILITY competency categories:

- **DECISION MAKING**
 - **INITIATIVE**
 - **EFFICIENCY AND FOCUS**
 - **RESPONSIBILITY AND INDEPENDENCE**
 - **ORGANIZATIONAL AWARENESS**
-

DECISION MAKING (INA)

Independently takes action and responsibility for solving problems. Makes decisions designed to achieve desired outcomes. Challenges the status quo by taking calculated actions in complex, ambiguous, contentious or hazardous situations to force an issue or set a direction.

Behaviors

- Solicits input from others and aligns decisions with business needs
- Takes responsibility for decisions made
- Analyzes issues and problems; makes decisions based on situational variables
- Identifies alternatives and thoroughly evaluates expected results, risks, needs, time frames and resources
- Makes timely decisions
- Recognizes when something is not working and switches tactics or directions, stops or moves on
- Examines each issue from multiple angles and seeks practical, workable solutions; does not automatically choose the first solution
- Remains open to changing decisions when new information becomes available
- Reacts quickly to a problem or direction change
- Reorganizes resources when necessary.
- Handles day-to-day work challenges effectively

- Even when all information is not readily available, makes decisions when necessary
- Takes risks and makes decisions when appropriate
- Identifies opportunities, assesses the risks and benefits using judgment, and acts on opportunities, even if contrary to past practice or conventional methods
- Operates comfortably with vague objectives
- Frequently makes decisions knowing that full information is lacking

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Identifies opportunities; commits to and makes decisions; acts within appropriate time frames; assesses a problem and makes decisions using the appropriate set of facts.
- 3 Obtains all relevant information from internal and external sources before making a decision and understands the work processes impacted by the decision; assesses the risks and benefits to the organization and moves forward; considers alternatives prior to making a decision; makes sound and timely decisions in the face of uncertainty.
- 4 Makes effective, timely, fact-based decisions on complex issues; reflects on past experience and weighs the pros and cons of alternative courses of action before deciding on what approach to take; advocates new ideas and initiatives; recognizes potential or opportunity that is beneficial to the organization.
- 5 Makes tough decisions based on a realistic and strategic assessment of opportunities and constraints; sets direction for the organization through strategic actions requiring risk-taking and solid decisions; makes decisions in which calculated risk is taken to achieve maximum results and benefit to the organization; aligns decisions with long-term organizational goals.

DECISION MAKING competency categories:

- Judgment
- Decisiveness

Judgment (INA)

Commits to a sensible, logical and effective action after considering alternative actions and their consequences on the resources, constraints, and values of an organization.

Behaviors

- Solicits input from others and aligns decisions with business needs
- Investigates issues and problems; makes decisions based on situational variables
- Identifies alternatives and thoroughly evaluates expected results, risks, needs, time frames and resources

- Makes timely decisions that can withstand controversy
- Recognizes when something is not working and switches tactics or directions
- Examines each issue from multiple angles and seeks practical, workable solutions; does not automatically choose the first solution
- Remains open to changing decisions when new information becomes available

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Selects a sensible course of action and takes actions that are beneficial to performing the task at hand; pursues outcomes that satisfy the need, problem or opportunity.
- 3 Considers pros and cons, risks, and short and long-term impacts associated with various courses of action before making a decision; recognizes when something is not working and is able to switch tactics or directions, stop or move on.
- 4 Anticipates the consequences of alternative courses of action and thoroughly evaluates expected results, risks, needs, time frames and resources; examines issues from multiple angles, and develops logical arguments.
- 5 Exercises exceptional judgment in situations of great uncertainty, ambiguity or risk for the whole organization.

Decisiveness (INA)

Makes decisions that reflect professional conviction and accountability in a timely fashion.
Makes valid assumptions when information is unclear or lacking.

Behaviors

- Makes firm decisions based on the facts
- Reacts quickly to a problem or direction change
- Reorganizes resources when necessary
- Handles day to day work challenges effectively
- Makes decisions based on available information (versus all information)
- Able to make decisions based on less than complete information
- Takes a definitive course of action based on circumstances
- Takes responsibility for decisions made.

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Makes accurate decisions in a timely manner based on soundness of fact.

- 3 Does not hesitate to make decisions on a variety of issues using the appropriate sets of facts; commits to and acts within deadlines; stands by and defend decisions; acts quickly to take advantage of opportunities.
- 4 Consistently makes sound and timely decisions in the face of uncertainty; effectively assesses options and consequences of actions and makes difficult trade-offs as necessary; solicits information from others; makes decisions that may not be popular; assesses the level of controversy associated with the decision and identifies alternatives; thoroughly evaluates expected results, risks, needs, time frames and resources.
- 5 Makes strategic decisions on complex and controversial issues that require difficult analysis; deals with issues requiring decisiveness which are surrounded by high levels of public scrutiny, politics and pressure; knows when and how to balance common sense with idealism.

INITIATIVE (INA)

Identifies and seizes opportunities; displays an independent, energetic spirit and readiness to undertake or experiment to improve the organization.

Behaviors

- Recognizes problems and solves them with little assistance
- Looks upon difficult tasks as an opportunity or a challenge
- Seeks involvement in additional activities when achievement of a milestone or goal is reached
- Responds positively to challenges
- Recognizes inefficient or ineffective processes; offers and promotes alternative solutions
- Takes steps toward implementing solutions
- Establishes and achieves deadlines, goals or milestones
- Recognizes what needs doing and does it without being told

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Seeks more effective ways to do the job; develops ways to improve work duties and tasks.
- 3 Actively takes steps to identify solutions to problems before being asked or directed; collects information that might be useful in performing the job.
- 4 Takes persistent, repeated action to overcome obstacles or accomplish a specific objective; recognizes what needs to be done and completes without direction and/or supervision.

- 5 Anticipates and acts quickly to address issues; develops and creates opportunities for the organization by planning ahead and recognizing future needs; seizes opportunities to independently resolve complex problems.

EFFICIENCY AND FOCUS (INA)

Focuses efforts and energy on successfully attaining clear, concrete, accurate, timely and measurable outcomes of importance to the organization. Persistent even when challenged by obstacles or opposition.

Behaviors

- Handles multiple tasks and projects simultaneously without jeopardizing quality
- Makes appropriate adjustments to meet deadlines and complete tasks
- Adapts time and resources in proportion to the importance of the task
- Reviews work to ensure accuracy, completeness and quality
- Pays attention to the specifics of the situation or issue
- Understands the purpose or goal of the task
- Takes action or responds in a timely and accurate fashion
- Stays aware of objectives and communicates their importance
- Seeks ways of making improvements to processes, methods
- Establishes clear, practical goals which contribute to the agency's or organization's strategic business plan
- Maintains focus on the achievement of established goals or solutions
- Breaks out of usual patterns of behavior when necessary to achieve results
- Tries several alternatives to overcome obstacles
- Handles interruptions effectively to stay on task
- Perseveres after meeting with rejection or resistance
- Maintains focus and effectiveness during rapid change and transition
- Knows when to quit; recognizes when the job is complete
- Identifies and knows where to acquire resources
- Remains current on changes and their applications

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Uses time effectively and prioritizes tasks; ensures accuracy and clarity of work and makes corrections in a timely manner.
- 3 Routinely supports the importance of accomplishing goals and objectives; handles interruptions and stays on track; does not quit after meeting with rejection or resistance; achieves the standards for excellence and quality of work set by management.

- 4 Demonstrates patience and waits for a successful outcome even though a quick solution might satisfy short-term needs; creates own measure of standards for excellence and quality of work; makes improvements to processes and methods.
- 5 Has the final authority for the workload and makes appropriate adjustments to maximize productivity to the organization; does not let outside issues or pressures detract from the focus of the organization; engages in continuous improvement of activities in an effort to consistently raise the level of standards for excellence and quality of work above that set by management.

EFFICIENCY AND FOCUS competency categories:

- **Prioritizing, Multi-tasking, Balancing Multiple Projects**
- **Quality, Accuracy, Attention to Detail**
- **Results Oriented**

Prioritizing, Multi-tasking, Balancing Multiple Projects (INA)

Recognizes or establishes the relative importance of multiple issues, tasks, and opportunities to maximize the productivity of the organization.

Behaviors

- Prioritizes tasks and handles the most urgent ones first
- Uses time wisely
- Handles multiple tasks and projects simultaneously without jeopardizing quality
- Remains aware of workload; makes appropriate adjustments to meet deadlines and complete tasks
- Adapts time and resources in proportion to the importance of the task

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Demonstrates time organization skills; identifies and prioritizes tasks.
- 3 Works with multiple tasks effectively; remains aware of workload and makes appropriate adjustments to meet deadlines and complete tasks.
- 4 Effectively evaluates the relative importance of multiple issues, tasks, and opportunities; effectively prioritizes job tasks and uses time and resources in proportion to the relative importance of tasks; identifies contingencies and interdependencies based on experience or prior knowledge.
- 5 Acts as final authority in handling multiple interdependent projects and overseeing the balance of long- and short-term plans; determines workload and makes appropriate adjustments to complete tasks and to maximize the

productivity of the organization; predicts potential risks and identifies milestones based on experience and prior knowledge.

Quality, Accuracy, Attention to Detail (INA)

Achieves excellent work results by attending to details. Demonstrates an appropriate level of precision to complete projects successfully and to execute job responsibilities in a timely manner.

Behaviors

- Reviews work to ensure accuracy, completeness and quality
- Pays attention to the specifics of the situation or issue at hand
- Understands the purpose or goal and follows-through to completion of the task
- Committed to the "big picture" without getting lost in the details
- Takes action or responds in a timely and accurate fashion
- Follows appropriate procedures without taking shortcuts, when required
- Conscientious; double checks and monitors work; self-evaluates
- Recognizes that the product or job might not be absolutely perfect but knows when it is adequate and when enough time has been spent
- Provides feedback to and accepts feedback from others

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 This level is not measured for this competency.
- 3 Follows instructions; checks own work for accuracy; self-evaluates.
- 4 Continually checks information for errors and makes corrections; pays attention to the specifics of the project to ensure accuracy, completeness and quality; follows appropriate procedures without taking shortcuts, when required.
- 5 Monitors progress of a project against milestones or deadlines; consistently raises the standard for quality work; anticipates the likelihood of errors and understands the consequences; knows when to leave the project less than perfect without losing quality.

Results Oriented (INA)

Achieves goals and brings projects to completion. Investigates, calculates and proceeds through a project or task to bring about a conclusion. Persists and stays focused when faced with a series of challenging or uncertain situations. Demonstrates a concern for working well or for competing against a standard of excellence.

Behaviors

- Exhibits a strong drive to achieve and excel
- Demonstrates energy and enthusiasm to bring projects or tasks to completion
- Sets realistic goals with specific objectives
- Consistently completes tasks or projects so that customer expectations and organizational requirements are exceeded
- Maintains focus on the achievement of established goals or solutions
- Breaks out of usual patterns of behavior to achieve results when required
- Investigates and proceeds to a beneficial or tangible conclusion of a project or task
- Tries several alternatives to overcome obstacles
- Plans a strategy and follows through to completion
- Handles interruptions or distractions and stays on task
- Perseveres after meeting with rejection or resistance
- Maintains focus and effectiveness during change or transition
- Knows and understands the agency and organizational standard of excellence
- Identifies and knows where to acquire resources
- Works to achieve goals

Proficiency Levels

- 1 Understands the importance of goals and tasks within the organization; exhibits a strong drive to achieve and excel; aware of specific objectives and sets realistic goals.
- 2 Establishes clear, practical goals for the job; seeks to eliminate barriers or obstacles to get results; seeks means of making improvements to processes and methods; demonstrates energy and enthusiasm to bring projects or tasks to completion.
- 3 Accomplishes goals and objectives by consistently completing tasks or projects so that customer expectations and organizational requirements are exceeded.
- 4 When appropriate, breaks out of usual patterns of behavior to achieve results; investigates, calculates and proceeds through a project or task to bring about a conclusion; maintains focus and effectiveness during change or transition.
- 5 Relied upon as an expert to bring problematic, complex and/or unfinished projects to completion even in the face of pressures or problems; maintains focus on the achievement of established goals or solutions and moves the team through the project or task to successful completion; creates and implements innovative plans or procedures to attain desired results.

RESPONSIBILITY AND INDEPENDENCE (INA)

Prefers to be proactive; takes calculated risks and makes difficult decisions, despite ambiguity or adversity. Self-governing; not requiring or relying on something or someone else. Considered trustworthy; accountable for own conduct.

Behaviors

- Takes effective action, when appropriate, without being told
- Identifies current opportunities or problems and acts to achieve results
- Anticipates situations and events by verifying options and developing alternate solutions
- Openly seeks out and listens to new ideas and business opportunities
- Takes risks and acts with a sense of urgency to solve problems
- Steps forward to do what is necessary for job completion
- Reliable and dependable in handling issues or situations before they escalate
- Takes risks and makes decisions
- Identifies opportunities, assesses the risks and benefits using judgment, and acts on opportunities for the organization, even if contrary to past practice or conventional methods
- Makes decisions knowing that full information is lacking
- Takes responsibility for the risks taken
- Accepts responsibility for failures and mistakes as well as accomplishments and successes
- Expresses ideas for continuous improvement and produces work of excellent quality
- Demonstrates a willingness to be judged by the risks that are taken
- Steps in to pick up slack without being asked
- Responds quickly to resolve problems
- Willingly accepts more responsibility or more work
- Handles failures constructively
- Provides others with direct, constructive feedback
- Reassures others after a setback
- Demonstrates self-confidence in own capability to accomplish a task and select an effective approach to a task or problem
- Confronts problems early and determines appropriate actions
- Takes decisive action on critical issues
- Takes a stand on issues that have an impact on the well-being of the agency or organization and takes appropriate action
- Addresses challenges or other issues clearly, appropriately and quickly

Proficiency Levels

- 1 Stays focused and does not give up easily when things do not go smoothly.
- 2 Recognizes opportunities to address current problems or issues in the workplace; confronts obstacles and problems in a timely manner.

- 3 Responds quickly and decisively to a pressing issue or critical situation; takes responsibility for follow through of commitments; challenges the way things have always been done, despite adversity; accepts responsibility for actions, risks and results.
- 4 Plans ahead in order to meet goals and objectives; does not make assumptions; asks difficult questions and points out problems or issues others may have overlooked or been reluctant to acknowledge; minimizes potential problems by taking extra effort to enhance work products and processes.
- 5 Anticipates and prepares for challenging, critical opportunities or problems that involve substantial risk and are not obvious to others; acts assertively to address issues that could impact the strategic direction of the organization; understands and addresses power relationships in the agency and how they influence attainment of goals and objectives.

RESPONSIBILITY AND INDEPENDENCE competency categories:

- **Self-Starter**
- **Personal Accountability and Ownership**
- **Self Confidence, Tough Minded**

Self-Starter (INA)

Exhibits initiative and motivation; seeks increased responsibilities. Exhibits energy and foresight in evaluating and responding to challenging situations, problems and opportunities.

Behaviors

- Takes effective and appropriate action without being told
- Creatively considers all options
- Anticipates situations and events by verifying options and developing alternate solutions
- Openly seeks out and listens to new ideas and opportunities
- Willing to take risks in order to solve problems
- Reliable and dependable in handling issues or situations
- Takes initiative to accomplish tasks
- Willingly accepts more responsibility or more work
- Works independently when required

Proficiency Levels

- 1 Aware of job responsibilities and tasks; persistent even when things do not go smoothly; takes steps to overcome obstacles that are present in the work.
- 2 When appropriate, acts upon opportunities that arise; addresses problems within the work unit; mentally oriented to task accomplishment; works independently when required.

- 3 Recognizes opportunities and takes effective action to achieve results without being told; frequently re-examines the status quo and responds to both obstacles and opportunities; willingly accepts more responsibility or more work.
- 4 Anticipates future needs and opportunities both within and outside the organization; takes action to avoid problems or future crises; prepares for future situations or circumstances that are not obvious to others; assumes accountability for job tasks, decisions and results.
- 5 Takes decisive action and leads others; focuses on the strategic direction of the organization and makes sound decisions that balance risk with return or opportunity; takes responsibility for decisions; creatively seeks long-term progress and success for the organization.

Personal Accountability and Ownership (INA)

Takes pride in the job. Actively engages in professional self-development opportunities. Accepts individual responsibility for all actions taken.

Behaviors

- Accepts responsibility and understands consequences for failures and mistakes as well as accomplishments and successes
- Expresses ideas for continuous improvement as well as producing work of excellent quality
- Strives for excellence
- Demonstrates a willingness to be judged by the risks that are taken
- Takes pride in the job
- Actively engages in professional self-development opportunities

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Learns from past experiences; remains positive about work; takes pride in job; strives for excellence.
- 3 Accepts responsibility and understands consequences for failures and mistakes as well as accomplishments and successes.
- 4 Openly solicits feedback about own behavior and puts suggestions into action; recognizes ways to improve productivity and customer service; understands how personal actions directly affect the success of the organization; engages in professional self-development opportunities.

- 5 Holds self accountable for and achieves objectives; goes beyond what is expected for the role or job in order to help the organization reach its goals; seeks to have a broad impact on the organization's overall success; expresses ideas for continuous improvement as well as producing work of excellent quality.

Self Confidence (INA)

Believes in own capabilities and convictions. Projects a positive self-image in the workplace. Addresses challenges or other issues clearly and appropriately.

Behaviors

- Handles failures constructively
- Provides others with direct, constructive feedback.
- Reassures others after a setback
- Demonstrates confidence in own ability to select an effective approach and accomplish a task or problem
- Anticipates problems and determines appropriate actions
- Challenges others to make tough choices
- Takes a stand on issues that impact the well-being of the organization
- Addresses challenges or other issues clearly and appropriately
- Persistently overcomes obstacles

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Selects an effective approach to a task or problem; works without requiring detailed direction or guidance; handles failures constructively.
- 3 Projects a positive self-image in accomplishing work activities; accepts assignments in a positive manner; demonstrates self-confidence in own judgment and ability to accomplish an objective.
- 4 Addresses challenges or other issues clearly and appropriately; persistently overcomes obstacles; provides others with direct and constructive feedback.
- 5 Challenges others to make tough decisions; displays confidence when meeting resistance; anticipates problems and determines appropriate action; responds confidently and effectively to change and uncertain situations and conditions.

ORGANIZATIONAL AWARENESS (INA)

Aware of and understands the goals, objectives and political structure of the organization. Aware of the impact and implications of decisions and actions throughout the organization. Aware of the influence and impact that others or outcomes may have on the goals or objectives of the organization. Sets realistic goals through a thorough understanding of the formal and informal structures of the organization. Takes into consideration and understands the impact of business decisions and actions on internal and external stakeholders. Strives to meet and improve own performance based on an understanding of the organizational mission statement and goals.

Behaviors

- Aware of and understands the organizational goals and objectives
- Understands the rules, policies, and laws that govern the work
- Understands and respects the balance of authority, as well as the political and power structures
- Identifies key decision makers
- Aware of and understands how own role fits within the organization
- Maintains strong working relationships within the organization
- Aware of the effects or ramifications of actions and errors
- Knows when to get supervisory or managerial approval before proceeding
- Takes into consideration and understands the impact of business decisions and actions on internal and external stakeholders
- Aware of the influence and impact that others or outcomes may have on the goals or objectives of the organization
- Sets realistic goals through a thorough understanding of the formal and informal structures of the organization

Proficiency Levels

- 1 Aware of and understands the goals, objectives and political structure of the organization; aware of and understands how own role fits within the organization.
- 2 Understands the rules, policies, and laws that govern the work; identifies key decision makers; understands and respects the balance of authority, as well as the political and power structures.
- 3 Sets realistic goals through a thorough understanding of the formal and informal structures of the organization; maintains strong working relationships within the organization; strives to meet and improve own performance based on an understanding of the organizational mission statement and goals.
- 4 Takes into consideration and understands the impact of business decisions and actions on internal and external stakeholders; understands organizational culture, climate and political relationships; manages internal and external relationships for the best advantage to the organization.

- 5 Considered an expert at understanding the underlying problems, opportunities and politics affecting the organization in relation to the external environment; aware of the influence and impact that others or outcomes may have on the goals or objectives of the organization; understands and directs underlying and long term issues that affect the organization to develop strategic opportunities; manages and defines the strategies and goals of the agency; shapes the future of agency business to meet organizational mission and goals.

INFLUENCE

Transforms thought into productive action. Creates successful outcomes by sharing knowledge and information within the work unit and across organizational lines. This includes mentoring others, building relationships key to success by establishing trust, credibility and rapport with key players and customers. These employees use awareness of the organization (i.e. structure, centers of authority, decision-making roles) and knowledge of the different roles and power positions within the organization to positively affect results. (*This competency is closely tied to global or organizational effectiveness rather than one-on-one, personal contacts and business relationships as described under PERSONAL EFFECTIVENESS.*)

INFLUENCE competency categories:

- **LEADERSHIP**
 - **RELATIONSHIP BUILDING**
 - **NETWORKING**
-

LEADERSHIP (INF)

Shares information, feedback and knowledge (two-way communication) with key persons inside and outside of the organization to ensure successful project outcomes and/or improvement. Includes training, teaching and coaching others. Actively steps into a leadership role.

Behaviors

- Communicates work-related knowledge to others
- Proactive in promoting and sharing appropriate information across organizational levels and functional boundaries
- Finds ways to keep others informed
- Shares ideas irrespective of functional or work unit lines
- Stimulates creative ideas in others
- Provides others with direct, constructive and positive feedback
- Exhibits flexibility to get things done; doesn't force "own way" or "one way"
- Coaches, develops and mentors others
- Assists others by sharing insights
- Trains and develops others' career path
- Encourages self-confidence and capability in others
- Shows initiative to pursue assignments to completion

- Sets an example for others by establishing and meeting challenging work goals
- Shows a consistent pattern of being able to recognize the activities needed to accomplish a mission and to initiate action with supervision as required
- Attains key results despite setbacks or distractions
- Reacts positively to problems or challenges as they arise
- Provides vision and direction by managing change, developing, coordinating, and influencing the activity of others
- Inspires confidence with management, associates, peers and subordinates
- Uses a variety of approaches to assist others in performing at consistently higher levels
- Works well under pressure, adapts to change and completes tasks under changing conditions
- Exhibits optimism regarding the likelihood of success and transmits this optimism to others

Proficiency Levels

- 1 Gives basic directions and instructions and makes sure group has all necessary supplies and information.
- 2 Monitors the quality of the work of the group and ensures progress and timeliness.
- 3 Sets a good example by communicating, correcting and training; demonstrates commitment to the continued long-term success of the team or group.
- 4 Supports and defends the group and its reputation in the larger organization; removes roadblocks if possible to ensure group achieves its goals; identifies conflict in the team and facilitates a resolution.
- 5 Uses strategies to promote team cooperation and productivity; establishes and communicates a compelling direction or vision that serves to motivate the group to work towards continual achievement of goals. Must have a global perspective of government as an “enterprise”.

LEADERSHIP competency categories:

- **Shares Information, Feedback and Knowledge (Two-Way Communication)**
- **Trains, Coaches and Teaches Others**
- **Provides Leadership**

Shares Information, Feedback and Knowledge (Two-Way Communication) (INF)

Shares job-related facts and data with peers and others. Listens and offers support and advice on job-related problems. Improves the effectiveness of work processes by developing the skills of others.

Behaviors

- Communicates work-related knowledge to others
- Proactive in promoting and sharing information across organizational levels and functional boundaries
- Finds ways to keep others informed
- Shares ideas and best practices
- Acts as a resource to others
- Shares ideas irrespective of functional or work unit lines
- Sees information sharing as an opportunity

Proficiency Levels

- 1 Seeks to understand facts and data related to his/her position; listens actively and asks questions to clarify information.
- 2 Demonstrates understanding and shares information on job-related data and facts; recognizes job-related problems; listens actively and provides support when necessary.
- 3 Proactively shares job-related data and facts with peers and others; considers and understands the impact that standard job-related information will have on others and situations before relating data.
- 4 Consistently and proactively shares job-related data, facts, ideas and best practices with peers and others outside the work unit; anticipates job-related problems and communicates the information necessary to avoid a negative workplace impact.
- 5 Proficient at communicating job-related data, facts, ideas and best practices to peers and others inside or outside the work unit; trains and coaches others to rectify job-related problems and to improve the effectiveness of work processes by developing the skills of others.

Trains, Coaches and Teaches Others (INF)

Assesses, guides, supports and counsels others for the purpose of helping them refine and acquire new skills.

Behaviors

- Coaches, develops and mentors others
- Assists others by sharing insights
- Supports others with constructive coaching
- Trains and develops others' career path
- Encourages self-confidence and capability in others
- Stimulates creative ideas in others
- Provides others with direct, constructive and positive feedback

- Provides reassurance after a setback
- Helps others learn and grow
- Exhibits flexibility to get things done; doesn't force "own way" or "one way"

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Seeks others' involvement and input on an issue; listens to others' perceptions, solutions, and concerns. Gives instructions and/or on-the-job demonstrations; explains how to do the task; makes specific helpful suggestions for complicated tasks.
- 3 Focuses energy on the issue rather than on the persons involved; gives specific and constructive feedback; stimulates creative ideas and interest to help others learn; gives support or assistance to others to stimulate interest and to make the job easier; modifies teaching approach to fit learning style of others.
- 4 Supports others with constructive coaching, training and encouragement. Gives positive and constructive feedback to others for growth and learning; coaches, trains and reassures others after a setback.
- 5 Mentors others; develops others' work skills by utilizing constructive coaching; fosters learning and development for others; provides long-term as well as short-term coaching; designs and implements new approaches to teach traditional materials; arranges successful experiences for others to build skill and confidence; takes a flexible approach in letting others do what works best for them.

Provides Leadership (INF)

Provides leadership to others with or without a formal role.

Behaviors

- Shows initiative to pursue assignments to completion
- Sets an example for others by establishing challenging work goals
- Shows a consistent pattern of being able to recognize the activities needed to accomplish a mission and to initiate action with supervision as required
- Attains key results despite setbacks
- Reacts positively to problems or challenges as they arise
- Provides vision and direction by changing, developing, coordinating, and influencing the activity of others
- Inspires confidence with management, associates, peers and subordinates with a proactive style
- Uses a variety of approaches to assist others in performing at consistently higher levels

- Effectively communicates at all levels of the organization
- Works well under pressure; adapts to change
- Creates an enthusiastic, positive work climate and energizes subordinates by example
- Commands respect
- Exhibits optimism regarding the likelihood of success and transmits this optimism to others
- Sets an example for others by establishing challenging work goals

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 This level is not measured for this competency.
- 3 Independently takes effective action and pursues assignments with a proactive attitude and style; sets an example for others by reacting positively to challenges.
- 4 Demonstrates a consistent pattern of being able to recognize and initiate activities that need to be done to accomplish an objective; motivates associates and peers; creates a positive work climate; energizes subordinates by example.
- 5 Provides vision and direction by managing change, coordinating and influencing the activity of others; commands respect and inspires others to do their best; effectively communicates at all levels of the organization to build enthusiasm for the opportunities of change.

RELATIONSHIP BUILDING (INF)

Builds short- and long-term relationships with people critical to work and project success. Relationships involve all those encountered at work. Is respected as a valid resource through consistent actions and behaviors. Builds relationships by bringing conflicts and disagreements into the open, as appropriate. Makes appropriate or acceptable compromises in order to meet goals and to gain cooperation from others.

Behaviors

- Honors commitments and agreements
- Develops relationships and acts as a trusted advisor
- Treats people fairly, with courtesy and respect
- Earns recognition and respect
- Recognized as being highly credible
- Treats others in a positive and consistent manner

- Brings conflicts and disagreements into the open as appropriate, and attempts to resolve them collaboratively, building consensus, keeping the best interests of the organization in mind, without personal bias
- Demonstrates a willingness to collaborate in order to meet goals or to gain cooperation from others
- Responds to feedback in an open and sensitive manner to ensure trust and credibility

Proficiency Levels

- 1 Maintains working relationships for the purpose of achieving work unit needs; is honest; admits mistakes and takes actions to correct mistakes; shares appropriate information with others; is open and straightforward in work relationships; treats others with respect.
- 2 Develops internal working relationships to promote work unit productivity and proficiency; collaborates in order to meet goals or to gain cooperation with others; respected by co-workers and subordinates because words are consistent with actions in achieving organizational objectives.
- 3 Develops on-going internal and external relationships that are important for the continuation of current services and practices; obtains organizational short-term and long-term goals by negotiating with others; develops customer success and growth.
- 4 Develops internal and external professional relationships that benefit the organization; responds to positive and negative feedback in an open and sensitive manner to ensure trust and credibility; recognizes and brings conflicts into the open as needed, for satisfactory and positive resolution.
- 5 Builds and maintains on-going, strategic short- and long-term relationships across organizational boundaries to anticipate and meet future business needs, goals and objectives; highly respected within State government and with other professionals in the field; regarded as a highly credible, trustworthy, discrete and competent individual; sought by others for information, advice and direction; impacts others; sustains relationships even when going through difficult times or when potential conflict may arise.

NETWORKING (INF)

Builds networks of useful relationships necessary to achieve positive results. Knows how internal and external organizations work. Cognizant of different roles and positions of power, and then utilizes this information to influence outcomes. Knows how to work with people and organizations in order to reach successful outcomes.

Behaviors

- Develops and maintains a network of contacts, both inside and outside the organization, with those who are able to supply information, assistance, or support for work related goals
- Supports and facilitates cooperation between others both within and outside the department
- Develops and maintains networks through personal contacts and informal situations to gain information and support
- Sensitive to the balance of power and authority structures
- Partners with others to win support
- Knows who the decision makers are and the individuals who influence them
- Uses appropriate methods to gain acceptance of ideas or plans

Proficiency Levels

- 1 Aware of and sensitive to others' role, as well as their own, in the organization; shows respect for and interest in others.
- 2 Initiates contact with the correct people to be successful in completing work projects.
- 3 Actively seeks out most appropriate people and resources to get things done; builds effective relationships with partners/stakeholders; has clear picture of desired outcomes.
- 4 Develops and manages a network of partnerships across organizational boundaries; has an advanced knowledge of business strategies and mutual needs of others.
- 5 Manages collaborative strategic partnerships in order to obtain beneficial outcomes and/or meet the needs of concerned parties in the future; engages and leverages relationships to achieve successful outcomes.

NETWORKING competency categories:

- **Builds Networks Necessary to Achieve Outcomes**
- **Uses the Organization to Its Best Advantage**

Builds Networks Necessary to Achieve Outcomes (INF)

Identifies and cultivates mutually beneficial associations with key stakeholders to accomplish organizational goals and objectives.

Behaviors

- Develops and maintains a network of contacts, both inside and outside the organization, with those who are able to supply information, assistance, or support for work related goals

- Supports and facilitates cooperation between others both intra- and inter- departmentally
- Builds or maintains relationships with people who are, or might someday be, useful in achieving work related goals
- Develops and maintains networks through personal contacts and informal situations to gain information or support

Proficiency Levels

- 1 Builds rapport; learns about partners/stakeholders critical to own role in organization; shows respect for and interest in others.
- 2 Actively seeks out relationship-building opportunities and builds basic relationships with partners/stakeholders that are grounded in trust and mutual respect.
- 3 Develops and manages local network; develops and applies consistent criteria in selecting partners; strives to move others to work toward mutual goals.
- 4 Structures strategic networks to ensure mutual benefit; develops partnerships across organizational boundaries; develops an advanced knowledge of partner's business strategies and needs; proposes and discusses a range of partnering approaches, and facilitates cooperation.
- 5 Manages collaborative partnerships; generates partnering approaches that produce significant strategic advantages to both parties; effectively develops ways to simplify or add value to shared work.

Uses the Organization to Its Best Advantage (INF)

Aware of and manages organizational relationships to accomplish the organizational mission and goals.

Behaviors

- Sensitive to the balance of power and authority structures
- Partners with others to win support
- Knows who the decision-makers are and the individuals that influence them
- Uses appropriate methods to gain acceptance of ideas or plans
- Understands relationships and the power of positions and utilizes this information as appropriate

Proficiency Levels

- 1 Understands and works within the organizational hierarchy, chain of command, and standard operating procedure in order to accomplish work tasks.

- 2 Identifies decision makers and influential individuals of the organization; applies knowledge of key individuals and players to get things done.
- 3 Demonstrates an awareness of organizational climate and culture and uses it effectively in order to achieve desired outcomes; wins support from others; partners with others to achieve goals.
- 4 Utilizes ongoing power and political relationships within the organization alliances; aware of rivalries that have an impact on critical projects or goals; anticipates the impact of situations on the agency players.
- 5 Recognizes the ongoing organizational behavior and addresses the underlying strategic problems, opportunities or political forces affecting the agency; gains acceptance on key issues; encourages others to take action when appropriate.

PERSONAL EFFECTIVENESS

Puts customers and co-workers at ease through awareness of, and consideration for, the opinions and feelings of other people. Senses how others are feeling and sets a positive and stable tone in work relationships. (*This competency category describes qualities generally associated with personal maturity and an employee's inclination to consistently adhere to high levels of ethical behavior. This category is related to INFLUENCE, however, it applies to more personal, one-on-one relationships or contacts, while INFLUENCE is closely tied to global or organizational effectiveness.*)

PERSONAL EFFECTIVENESS competency categories:

- **SELF KNOWLEDGE AND PERSONAL AWARENESS**
 - **ETHICS**
 - **INTERPERSONAL UNDERSTANDING**
 - **MATURITY AND EMOTIONAL DISCIPLINE**
 - **FLEXIBILITY AND ADAPTABILITY**
 - **TEAMWORK**
-

SELF-KNOWLEDGE AND PERSONAL AWARENESS (PEF)

Identifies own strengths and developmental needs. Improves job performance as well as short- and long-term career growth with continual learning; pursues learning and self-development. Knows own limitations, seeks feedback and modifies own behavior as appropriate.

Behaviors

- Identifies own strengths and developmental needs
- Asks questions or asks for help; admits when doesn't understand something
- Actively pursues learning and self development
- Seeks feedback and modifies behavior based on feedback
- Develops personally by accurately assessing personal skill levels, competencies and potential for growth
- Applies new knowledge gained through training
- Effectively balances professional and personal responsibilities
- Recognizes when personal problems affect work and takes appropriate action.

Proficiency Levels

- 1 This level is not measured for this competency.

- 2 Recognizes own skill levels, competencies and potential for growth; practices regular self-assessment; seeks developmental training and learning; accepts constructive feedback positively; asks for help when needed; asks questions.
- 3 Reviews experiences and applies lessons learned to new and current activities; seeks feedback from others on performance; demonstrates improvement in competencies and skills targeted for development.; pursues training and self-development; takes action to correct inappropriate behaviors; displays a career/life balance by effectively integrating competing career and family needs.
- 4 Increases job performance and long-term career growth with continual learning; actively participates and takes responsibility for career development; routinely seeks others who can provide information, advice and counsel on increasing current performance levels and/or future career opportunities; creates assignments and tasks that lead to development and expansion of individual capabilities.
- 5 Establishes strategic relationships across the organization to broaden scope of organizational knowledge; increases personal effectiveness through knowledge of the overall operations of the organization.

ETHICS (PEF)

Models high standards of honesty, integrity, trust, and openness. Knows, understands, and follows through with the correct standards of conduct and moral judgment required; is willing to act outside the norm when needed to adhere to ethical principles. Communicates and demonstrates actions in a consistent manner. Respects others, regardless of individual capabilities, agendas, opinions or needs.

Behaviors

- Consistently models high standards of honesty, integrity, trust, openness, and respect for the individual
- Inspires, motivates and guides others toward goal accomplishment within ethical guidelines
- Takes a stand and resolves important ethical issues
- Keeps promises; actions are consistent with words
- Maintains ethical standards in both internal and external business dealings
- Confronts inappropriate behaviors in others
- Is fair and consistent in rewarding others for a job well done
- Decisively rejects suggestions by others of any action which would compromise ethical standards
- Accepts responsibility
- Builds and maintains a broad reputation for integrity and credibility within a global network

- Applies ethical principles in a way that benefits the agency and the individual even in the face of perceived resistance or established practice
- Demonstrates the virtues of authenticity, integrity, truthfulness and credibility expressed in actions and behavior
- Coaches, mentors, and challenges subordinates about ethical practices
- Supports non-discrimination programs within the organization
- Encourages collaboration, trust, foresight, listening, and the ethical use of power and empowerment
- Gains the confidence of employees and customers by respecting the confidentiality and privacy of their concerns and needs
- Displays and insists on honesty in prioritizing and guiding actions and in providing others with accurate and full information to achieve desired results
- Fosters an organizational culture with high ethical standards by appropriate recruitment, training and rewards so employees adhere to shared ethical standards
- Is a role model to others by acknowledging own mistakes, accepting consequences and taking corrective action
- Treats individuals with dignity and respect and avoids all appearances of conflict of interest and favoritism
- Demonstrates respect for all team members, regardless of their individual capabilities, agendas, opinions or needs

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 This level is not measured for this competency.
- 3 This level is not measured for this competency.
- 4 Displays integrity by holding oneself personally accountable; acts in accordance with standards for ethical judgment consistent with the organization's stated values; accepts responsibility; demonstrates respect for all team members regardless of individual capabilities, agendas, opinions or needs; gains the confidence of employees and customer by respecting the confidentiality and privacy of their concerns and needs.
- 5 Consistently models high standards of honesty, integrity, trust, openness, and respect for the individual; encourages collaboration, trust, foresight, listening, and the ethical use of power and empowerment; fosters an organizational culture with high ethical standards by appropriate recruitment, training and rewards so employees adhere to shared ethical standards.

INTERPERSONAL UNDERSTANDING (PEF)

Relates to others in an open and accepting manner; friendly and approachable. Adjusts to how individuals and the work unit function and react. Senses how others feel; treats others with respect. Cultivates rapport with all persons encountered at work.

Behaviors

- Relates to others in an open and accepting manner
- Maintains an understanding of different viewpoints
- Addresses discrimination and other intolerable behavior of others
- Builds cooperative relationships
- Looks at others as "partners" or "team members"
- Treats others with respect
- Demonstrates active listening
- Initiates and develops effective work relationships with others
- Understands what motivates or discourages others
- Recognizes the strengths and limitations of others
- Considers the reasons for others' behavior in order to increase the effectiveness of interactions
- Perceives and understands one's impact on others
- Provides support, appreciation and recognition to others
- Friendly and approachable

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 This level is not measured for this competency.
- 3 Recognizes the non-verbal cues and body language of others; identifies how an idea is perceived by others and reacts or adjusts to accommodate their needs; relates to others in an open and accepting manner.
- 4 Accurately understands underlying issues or reasons for behaviors and concerns; friendly and approachable; establishes rapport quickly; effective in building cooperative relationships with others.
- 5 Understands complex causes for long-term underlying attitudes, behavior patterns or problems; addresses prejudice and other intolerable behavior of others; builds relationships with individuals based on mutual trust and understanding; provides support, appreciation and recognition to others.

INTERPERSONAL UNDERSTANDING competency categories:

- Nonjudgmental and Tolerant
- Rapport
- Empathy

Non-judgmental and Tolerant (PEF)

Appreciates differences in people. Approaches problems and issues from different perspectives. Treats others with fairness, dignity and respect.

Behaviors

- Relates to others in an open and accepting manner
- Maintains an understanding of different viewpoints
- Addresses prejudice and other intolerable behavior of others
- Treats others with fairness, dignity and respect.
- Considers the reasons for others' behavior in order to increase the effectiveness of interactions
- Looks at others as "partners" or "team members"

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 This level is not measured for this competency.
- 3 Appreciates differences in people; treats others with fairness, dignity and respect; maintains an understanding of different viewpoints.
- 4 Relates to others in an open and accepting manner; looks at others as "partners" or "team members"; considers the reasons for others' behaviors in order to increase effectiveness.
- 5 Sees differences in people as opportunities for learning and develops strategic relationships with others to gain a broad understanding; addresses prejudice, discrimination and other intolerable behaviors in others.

Rapport (PEF)

Builds relationships marked by harmony, understanding and respect of others.

Behaviors

- Effective in building cooperative relationships with people
- Creates an atmosphere of trust
- Looks at others as "partners" or "team members"
- Demonstrates active listening
- Initiates and develops relationships with others
- Understands what motivates or discourages others
- Friendly and approachable

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 This level is not measured for this competency.

- 3 Creates an atmosphere of trust; builds cooperative relationships; considers others as part of the team; friendly and approachable.
- 4 Identifies and draws upon common interests to build mutual respect and trust; shows respect and fosters diverse relationships; demonstrates an understanding of what motivates or discourages others.
- 5 Highly effective as an advocate and builder of relationships; fosters mutual trust and harmonious partnerships both inside and outside the organization; utilizes strong relationships to accomplish business goals.

Empathy (PEF)

Takes actions that indicate consideration and understanding of the feelings and needs of others.

Behaviors

- Fosters interpersonal relationships by sensing how others are feeling, and their moods and concerns.
- Separates the content of what is being said from the emotion or action
- Insightful and sensitive to the message and perspective of others
- Provides support, appreciation and recognition to others

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 This level is not measured for this competency.
- 3 Senses and understands the meaning from others expressions; recognizes and appropriately responds to the feelings and concerns expressed by others.
- 4 Consistently shows a sincere interest in others as individuals; recognizes reasons for others behaviors without judging; provides support, appreciation and recognition for others.
- 5 Successfully understands and enhances the self-esteem of others; reinforces and builds the self-esteem of others, especially under conditions of stress and pressure.

MATURITY AND EMOTIONAL DISCIPLINE (PEF)

An individual who handles a wide variety of situations in a sensible, reasonable and professional manner. Maintains composure and displays restraint when faced with

opposition, stress, or hostility from others. Uses experience to demonstrate wisdom, responsibility and reliability in any type of situation.

Behaviors

- Works well under pressure or stress; keeps a positive perspective
- Accepts management decisions, even when in disagreement
- Uses constructive and non-constructive feedback positively
- Maintains self-control and objectivity in the face of conflict, opposition, hostility or stress
- Is patient and even-tempered with others
- Handles failures constructively
- Admits when does not understand something and attempts to find answer
- Maintains business-like and positive approach, optimism and motivation

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 This level is not measured for this competency.
- 3 Admits when does not understand something and attempts to find answer; is patient and even-tempered with others; handles failures constructively.
- 4 Keeps things in perspective; maintains business-like and positive approach; demonstrates optimism and motivation; uses constructive and non-constructive feedback positively.
- 5 Adapts to difficult situations and responds constructively; maintains self-control and objectivity in the face of conflict, opposition, hostility or stress; uses experience to respond to situations or others with wisdom, responsibility and reliability in any type of situation.

FLEXIBILITY AND ADAPTABILITY (PEF)

Accepts change as a healthy and normal part of growth. Receptive to new information and recognizes the validity of various viewpoints; sees situations objectively. Responds positively to changes in direction and priorities, responsibilities or assignments. Adjusts to multiple demands, priorities, ambiguity and change positively. Works effectively within a variety of situations, individuals or groups.

Behaviors

- Responds positively to changes in direction, priorities, responsibilities or assignments
- Switches roles or procedures easily to achieve work results
- Breaks out of usual patterns of behavior to achieve results
- Recognizes that workplace change is inevitable; maintains focus and effectiveness during change and transition
- Works effectively within a variety of situations, individuals or groups

- Adjusts to multiple demands, priorities, ambiguity and change positively
- Anticipates and accepts changing roles, directions and work methodologies
- Understands and appreciates different and opposing perspectives
- Maintains effectiveness and focus when dealing with uncertainty, change or transition
- Retains flexibility when faced with change
- Willing to experiment and take risks in trying different approaches
- Accepts changes to the organization or in job requirements
- Receptive to new information and recognizes the validity of various viewpoints
- Sees situations objectively

Proficiency Levels

- 1 Reacts to change without disruption to others; routinely exhibits adaptability.
- 2 Switches roles or procedures easily to achieve work results; recognizes that change in the workplace is inevitable; responds positively to changes in direction, priorities, responsibilities or assignments.
- 3 Understands and appreciates different and opposing perspectives; works effectively within a variety of situations, individuals or groups; receptive to new information and recognizes the validity of various viewpoints.
- 4 Maintains effectiveness and focus when dealing with uncertainty, change or transition; willing to experiment and take risks in trying different approaches; breaks out of usual patterns of behavior to achieve results.
- 5 Anticipates and drives organizational change under demanding situations and circumstances; redirects own work and the work of others during periods of shifting and multiple demands and priorities, ambiguity and change; anticipates and accepts changing roles, directions and work methodologies.

TEAMWORK (PEF)

Works cooperatively with others as part of a team as opposed to separately or competitively.

Behaviors

- Participates in group discussions and respects the opinions of others
- Identifies and pursues solutions and looks for alternative ways to work with others that will create better results and working relationships
- Is proactive and willing to take a leadership role without being asked
- Works collaboratively with other teams, work units and peers
- Supports the team by assisting all members to contribute to results
- Gives credit and recognition to others
- Shares roles with others on the team; willing to take turns with different jobs, cross train or pick up the slack as needed

- Is aware of co-worker workload
- Develops cooperation and collaborative work efforts toward mutually acceptable solutions
- Understands that all members of a team are necessary in accomplishing the work and encourages without taking over or controlling
- Supports team decisions and outcomes (even in the absence of consensus) through actions and communications
- Works to include the external customer as part of the team, when appropriate

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Participates in group discussions and respects the opinions of others; considers co-worker workload when volunteering or requesting assistance.
- 3 Supports team decisions and outcomes through actions and communications; shares roles with others on the team; gives credit and recognition to others; works collaboratively with other teams, work units and peers.
- 4 Supports team by assisting all members to contribute to results; willingly takes turn with different jobs, cross train or pick up the slack as needed; understands that all members of a team are necessary in accomplishing the work and encourages without taking over or controlling; actively participates in team decisions and outcomes (even in the absence of consensus) through actions and communications.
- 5 Identifies and pursues solutions and looks for alternative ways to work with others that will create better results and working relationships; develops cooperation and collaborative work efforts toward mutually acceptable solutions; serves as a resource to other teams as requested; develops alternatives to improve team interactions; works to include the external customer as part of the team, when appropriate.

TEAMWORK competency categories:

- Team Building
- Cooperative/Shares workload

Team Building (PEF)

Stays focused to achieve results. Actively participates and respects the ideas of others. Looks for alternative ways to work with others that will create better results and working relationships. Motivates team members with diverse goals to collaborate and cooperate to achieve success.

Behaviors

- Participates in group discussions and respects the ideas of others
- Looks for alternative ways to work with others that will create better results and working relationships
- Willing to take a leadership role without being asked
- Collaborates with other teams or work units and peers to meet customer needs
- Assists members to learn, develop and grow in their ability to contribute to results
- Gives credit and recognition to others who have contributed
- Identifies and pursues solutions in which all parties can benefit
- Supports team decisions and outcomes (even in the absence of consensus) through actions and communications
- Constructively resolves disagreements by negotiating mutually acceptable solutions
- Works to include the external customer and partner as part of the team, when appropriate

Proficiency Levels

- 1 Demonstrates a basic awareness of team dynamics; participates in group discussions and respects the ideas of others.
- 2 Recognizes capabilities and knowledge of team members; gives credit and recognition to others who have contributed; assists the team by obtaining resources and information required; looks for alternative ways to work with others that will create better results and working relationships.
- 3 Displays leadership by focusing on the desired results and work products; acknowledges and celebrates team efforts and accomplishments.; identifies and pursues solutions in which all parties can benefit; supports team decisions and outcomes through actions and communication.
- 4 Establishes appropriate and productive teams to achieve project and program goals; seeks opportunities to build upon the individual differences among team members; promotes and endorses team decisions to management; builds and promotes a spirit of shared accountability; assists members to learn, develop and grow in their ability to contribute to results of the team; includes the external customer as part of the team, when appropriate; works constructively to reach mutually acceptable solutions.
- 5 Communicates a convincing vision to the team that generates excitement, enthusiasm, and commitment; consistently develops ways to build the strategic value of the team and achieve results that are meaningful; identifies and develops relationships outside the team who can contribute to achievement of the team's objectives; influences others to support long-term objectives and strategies of the team.

Cooperative/Shares Workload (PEF)

Willingly helps and works well with others. Assists in collaborative work efforts toward solutions which benefit the team, group or organization.

Behaviors

- Willingly helps and works well with others
- Shares roles with others on team; willing to take turns with different jobs, cross train or assist others as needed
- Aware of and sensitive to co-worker workload and offers assistance when necessary
- Assists and develops collaborative work efforts toward solutions which benefit the team, group or organization
- Understands and respects all members of the team

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Actively attempts to complete work that is assigned; pulls own weight so that co-workers are not burdened with extra work.
- 3 Willingly helps and works well with others; aware of and sensitive to the workloads of others and offers assistance when necessary.
- 4 Shares roles with others on team; willing to take turns with different jobs, cross train or assist others as needed; understands and respects all members of the team.
- 5 Assists and develops collaborative work efforts toward solutions which benefit the team, group or organization.

THINKING & PROBLEM-SOLVING

Uses reason and logic to identify and solve problems. These employees use reasoning, vision, and creativity to reach conclusions and decisions. Understands cause and effect relationships, recognizes similarities and differences in situations, and applies knowledge to help make effective decisions or to come up with new ways to accomplish a task.

THINKING AND PROBLEM SOLVING competency categories:

- **ANALYTICAL THINKING**
 - **CREATIVITY AND PROBLEM SOLVING**
-

ANALYTICAL THINKING (TPS)

Breaks problems into component parts. Considers and organizes parts in a systematic way. Looks for underlying causes or thinks through the consequences of different courses of action.

Behaviors

- Understands, comprehends, and defines issues
- Takes a logical approach to problems, identifies root causes and reasons things through
- Recognizes, appreciates and applies situational subtleties and nuances that are not immediately observable
- Weighs the risks and benefits associated with multiple alternatives
- Possesses accurate assessment skills; determines facts
- Uses logic and reasoning combined with solid, accurate analysis
- Asks appropriate questions and knows when to seek clarification to get necessary information
- Identifies critical information necessary to analyze problems
- Understands what information is needed and where and how to collect it
- Relates information from different sources to analyze and draw logical conclusions
- Reconciles the conflicts between short term requirements and long term objectives
- Maintains an awareness of the interrelationships of project activity, work assignment and resource allocation
- Displays sufficient attention to detail
- Anticipates obstacles realistically
- Prioritizes ideas
- Identifies possible cause-effect information
- Observes conditions and recognizes patterns
- Recognizes symptoms that indicate more significant problems

- Anticipates obstacles, considers the impact/consequence of decisions
- Puts a problem in context, recognizes risks, understands situational variables
- Develops or uses systems to organize and keep track of information
- Evaluates both failure and success to determine how to do better in the future
- Knows how much proof is enough in supporting a theory
- Knows when a job has reached completion; knows when to stop/quit/move on

Proficiency Levels

- 1 Thinks in an analytical manner involving limited, observable or straightforward variables; identifies appropriate resources for questions or directions; learns from mistakes.
- 2 Organizes work to meet deadlines according to plans, processes and systems in place; recognizes problems and uses common sense to analyze implications and consequences of observable conditions and situations; recognizes the consequences of selecting one choice over another; seeks necessary information.
- 3 Analyzes patterns and connections; sees the implications of decisions in standard or repetitive work; collects sufficient information to discern important from unimportant issues; recognizes, appreciates and applies situational subtleties and nuances that are not immediately observable.
- 4 Independently analyzes multiple and/or more abstract situations; recognizes subtle relationships among data, events and issues; analyzes cause and consequence; advanced understanding of how much proof is enough in supporting a theory; anticipates obstacles, considers the impact/consequence of decisions on the present and future organizational environment.
- 5 Identifies underlying issues and concerns that are strategic, sensitive and/or ambiguous in nature; analyzes multi-faceted, long term and comprehensive problems; develops theories to tie together seemingly unrelated data.

ANALYTICAL THINKING competency categories:

- **Plan, Organize, Gather Information and Conduct Research**
- **Identify Problems**
- **Take a Reasonable, Logical Approach to Solving Problems**
- **Perceptive and Insightful**

Plan, Organize, Gather Information and Conduct Research (TPS)

Defines an end result. Sets or follows a course of action to achieve it. Anticipates potential obstacles and monitors progress. Organizes tasks into component parts in a rational, methodical way. Collects and uses relevant information, data, opinions.

Behaviors

- Organizes projects into manageable pieces
- Prioritizes ideas using a rational basis
- Anticipates obstacles realistically when planning
- Develops a short and long range plan of action that is comprehensive, creative, realistic and effective in meeting goals
- Reconciles conflicts between short term requirements and long term objectives
- Maintains an awareness of the interrelationships between project, activity, work assignments and resource allocation
- Develops and uses systems to organize and keep track of information
- Displays sufficient attention to detail
- Utilizes technology to fullest potential
- Weighs the risks and benefits associated with multiple alternatives before taking action
- Knows what information is needed and where and how to collect it
- Asks appropriate questions and seeks clarification to get necessary information
- Keeps clear, detailed records of activities related to the accomplishment of stated objectives

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Organizes work to meet deadlines according to plans, processes and systems in place; identifies and recognizes resources and information available and needed to perform the work. Asks questions to get information; is aware of the need for and keeps clear records of activities.
- 3 Prioritizes work and arranges for necessary resources, equipment, space, etc. required to complete the work; collects sufficient information to discern important from unimportant issues; successfully anticipates potential obstacles; sets and meets deadlines; monitors and documents progress.
- 4 Takes large projects and organizes them into more manageable sub-projects; independently balances and coordinates the necessary resources for multiple and/or sensitive, complex or multi-faceted projects; conducts wide-ranging and detailed research; thinks several steps ahead and develops contingency plans; keeps records of key decisions and various stages of progress to coordinate various segments and for future use.
- 5 Develops, monitors and adjusts strategic plans to manage and balance multiple interdependent projects to achieve comprehensive long term goals; manages complex, strategic, significant, multi-faceted, and/or long-term work representing the most significant use of resources; considered an expert at integrating the planning processes of many projects toward achievement of a broad mission.

Identify Problems (TPS)

Assesses situations in a logical and methodical way based on facts. Seeks root causes. Recognizes patterns, connections, themes, and issues. Sees implications and consequences of a situation or information.

Behaviors

- Identifies critical information necessary to analyze problems
- Understands, comprehends, and defines situations and/or identifies errors
- Possesses accurate assessment skills; exhibits healthy skepticism; extracts truth from fiction
- Observes conditions and recognizes patterns
- Identifies possible cause and effect information
- Relates information from different sources to analyze and draw logical conclusions

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Recognizes that a problem exists; uses common sense to analyze observable conditions and situations; seeks to understand other factors that may aide in problem identification.
- 3 Analyzes patterns, connections, themes, issues; identifies implications and consequences of a situation or information; effectively assesses a situation based on facts; successfully analyzes plus and minus factors in a logical and methodical way; keys in on the information that is critical to analyzing the problem.
- 4 Independently analyzes complex, challenging, sensitive or multi-faceted situations which require attention or resolution; advanced ability to recognize subtle relationships among data, events and issues; to analyze cause and consequence; searches for root causes; uses current and past experience to separate the truth from fiction.
- 5 Synthesizes diverse information; identifies underlying issues and concerns necessary to understand ambiguous situations; constructs theories, concepts and/or approaches to diagnose strategic and long-term situations.

Take a Reasonable, Logical Approach to Solving Problems (TPS)

Develops feasible solutions based on logical assumptions and factual observation that reflect consideration for resources, constraints, organizational values and goals.

Behaviors

- Thinks clearly using analytical reasoning
- Takes a logical and methodical approach to solving problems
- Identifies root causes

- Uses common sense combined with solid, accurate analysis
- Draws from experience/learns from mistakes
- Uses acquired skills
- Identifies probable explanations or alternatives for a situation
- Appropriately balances needs and desires with available resources and constraints
- Knows how much proof is enough in supporting a theory
- Knows when a job is complete; knows when to stop/quit/move on
- Evaluates both failure and success to determine how to do better in the future

Proficiency Levels

- 1 Draws accurate conclusions and recommends realistic action in standard or repetitive work; learns from mistakes.
- 2 Thinks clearly using analytical reasoning; uses logic and reason to draw accurate conclusions and recommends realistic action; draws on life experience in resolving problems.
- 3 Recognizes implications and consequences of a situation, draws accurate conclusions, recommends or takes realistic action; searches for ways to pattern solutions on similar circumstances/ situations; coordinates solid, logical and systematic analysis to develop a solution; knows when to stop, quit, or move on.
- 4 Synthesizes diverse and challenging pieces of information and opinion concerning complex, sensitive or multi-faceted situations; logically balances needs and desires with available resources and constraints in solving problems; recommends realistic action; knows how much evidence is enough in supporting a theory; draws upon a broad range of past experiences and education in approaching problems.
- 5 Develops broad strategies to utilize the least amount of operational or human resources necessary to accomplish a mission; is considered an authority at understanding the essence of a service or product; draws upon extensive experience with a broad range of failures, successes, issues, strategies, and operational and human factors in developing solutions to problems.

Perceptive and Insightful (TPS)

Sees relationships, connections, patterns, and trends not obvious to others or in new ways. Gains and uses knowledge, makes inferences, and uses intuition.

Behaviors

- Puts a problem in context, recognizes risks, understands situational variables
- Observes and perceives surroundings while focusing on resolution of a problem
- Sees patterns or connections between situations not obviously related and identifies key or underlying issues in complex situations
- Recognizes symptoms that indicate more significant problems

- Balances long and short term risks and perceives potential consequences
- Anticipates obstacles or problems, considers the impact or consequence of decisions on present and future organizational environment
- Recognizes, appreciates and applies situational subtleties and nuances that are not immediately observable

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Looks for and discerns relationships, patterns, obstacles, and cause and effect.
- 3 Evaluates and processes facts, opinions, and input from others while recognizing different ways of looking at relationships and patterns, symptoms, risks and opportunities in the working environment; observes and perceives what is going on around them as they focus on resolving a problem; uses deductive reasoning.
- 4 Anticipates and takes into account situational subtleties and nuances that are not immediately observable, or sees them in a new way; recognizes signs that indicate more significant problems; weighs and appropriately balances risk and opportunity; develops theories to tie together seemingly unrelated data.
- 5 Considered an expert at balancing long- and short-term risks and perceiving potential strategic consequences; forecasts and anticipates problems; considers the impact and consequences of decisions on the present and future organizational environment; identifies innovative connections between seemingly unrelated data and develops solutions.

CREATIVITY AND PROBLEM-SOLVING (TPS)

Generates ideas, fresh perspectives and original approaches; open-minded. Uses creativity and originality when problem-solving. Goes beyond traditional ways to address issues and problems.

Behaviors

- Develops or supports the introduction of new and improved methods, creative alternatives, procedures, business situations, processes or technologies
- Is comfortable with ambiguity; applies unique solutions to problems, challenges, obstacles and opportunities, as appropriate
- Applies new and evolving ideas, methods, designs and technologies
- Questions the established way of doing things
- Moves beyond fact-based logic and experience to develop innovative approaches
- Approaches problems with curiosity and open-mindedness
- Evaluates activities/projects in progress and applies insight to similar situations

- Grasps and sorts implications and concepts quickly
- Avid questioner and listener
- Draws from disciplines beyond own areas of expertise when solving problems and making decisions
- Uses creativity and originality when problem solving
- Finds effective solutions by taking a long-term, broad perspective
- Considers future opportunities or requirements; considers the future impact of current decisions
- Understands implications and actions needed to move the assignment, project, or organization forward
- Maintains the proper perspective between the overall picture and the details
- Looks continuously for new and/or non-traditional ideas, approaches and available resources
- Sees self as a catalyst for change
- Changes traditional patterns of thinking

Proficiency Level

- 1 Uses basic experience to solve problems; is open-minded; determines what sources of information are available to expand abilities to do the work and to improve work methods; asks questions.
- 2 Achieves results; resolves problems using ideas and available resources; seeks out ways to expand abilities to do the work and to improve work methods; knows when a problem is solved.
- 3 Resolves problems using a fresh, original or nonstandard approach; generates ideas; willing to consider new ways of thinking and behaving.
- 4 Develops ideas that are unique contributions to work unit services and processes; identifies root causes of problems and thinks of alternative solutions; challenges the status quo by experimenting with new ideas.
- 5 Develops novel or innovative concepts; leads others in a broad range of social, political, organizational and economic issues; takes into consideration broad issues; considers the long-term, big picture when solving problems; resolves complex, strategic, sensitive, multi-faceted or long-range problems and issues; breaks tradition in reforming and reorganizing how services are accomplished. Recognized as a thought leader.

CREATIVITY AND PROBLEM SOLVING competency categories:

- Innovative
- Inquisitive or Curious
- Resourceful and Entrepreneurial
- Visionary
- Change Agent

Innovative (TPS)

Generates fresh, original or unconventional perspectives and original approaches. Reexamines established ways of doing things.

Behaviors

- Thinks of creative alternatives to business as usual
- Develops and supports the introduction of new and improved methods, procedures, processes or technologies
- Comfortable with ambiguity; applies creative concepts and solutions to problems, challenges, obstacles and opportunities
- Creates new concepts that are not obvious to others to explain situations or resolve problems; develops unique solutions
- Applies new and evolving ideas, methods, designs and technologies
- Questions established ways and develops recommendations for ways of doing things
- Generates break-through ideas by brainstorming and building from others' ideas
- Moves beyond fact-based logic and experience to develop innovative approaches

Proficiency Levels

- 1 Questions the accepted way of doing things, within the scope of the job.
- 2 Receptive to new ideas; uses alternative methods for getting routine work done when temporary obstacles arise.
- 3 Applies new and evolving ideas, methods, designs and technologies to work; creatively builds off the ideas of others; willing to reexamine the established ways of doing things when they are no longer working effectively.
- 4 Creates concepts that are not obvious to others and not always learned from previous education or experience to explain situations or resolve problems; is sought as a leader for innovation; questions established ways and develops recommendations for ways of doing things when choosing a course of action.
- 5 Creates new strategic models, theories or approaches; moves beyond fact-based logic and experience and develops innovative approaches; develops entrepreneurial ideas that are unique contributions to work unit services and organizational processes; displays a spontaneous and wide-ranging imagination in generating ideas.

Inquisitive or Curious (TPS)

Seeks alternative ideas and perspectives in an open-minded manner from traditional and non-traditional sources. Demonstrates the desire to question, investigate and learn.

Behaviors

- Approaches problems with curiosity and open-mindedness
- Searches for more efficient ways to accomplish tasks
- Seeks out new methods, technology and knowledge
- Finds out about issues, ideas, or knowledge useful to keep up with a changing work place
- Curious about many topics; avid questioner and listener

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Has an open mind; utilizes basic sources of information available to resolve issues; actively seeks out new sources of information in an attempt to expand abilities to do the work and to improve work methods.
- 3 Finds alternative approaches to work; gathers and incorporates sufficient data to resolve problems; quickly grasps and implements new concepts, methods, processes and technology; takes the initiative to find out about issues, ideas and knowledge useful to keep up with a changing work place; is an avid questioner and listener.
- 4 Encourages and pursues new ideas, technologies, perspectives, opinions or approaches; exhibits an inquisitive nature for understanding how things are done, what makes things tick; seeks out diverse ideas and perspectives from a variety of traditional and non-traditional sources.
- 5 Considered an expert at seeking out wide-ranging ideas and perspectives from different sources to help improve strategic position; understands a broad range of social, political, organizational, and economic issues; utilizes all appropriate tools, technology and resources.

Resourceful and Entrepreneurial (TPS)

Consistently focuses on end results and finds the most effective way to achieve goals and objectives. Acts on opportunities, even if contrary to conventional wisdom. Takes calculated risks. Generates non-routine, non-traditional actions to overcome obstacles and achieve results.

Behaviors

- Uses broad experience, prior knowledge to solve problems in a faster, more effective manner
- Draws from disciplines beyond own areas of expertise when solving problems and making decisions

- Resourceful and quick-thinking
- Thinks of methods, supplies, resources that can be used to complete the project or task in an efficient and effective manner

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 Achieves results by seeking out additional knowledge and information that could add to productivity; is resourceful and able to improvise in work tasks.
- 3 Acts quickly and seizes opportunities in ways that others often don't recognize; willing to take risks; draws on a variety of personal, educational and life experiences in order to complete assignments.
- 4 Develops new approaches for situations where standard approaches no longer apply; utilizes resources for a variety of situations; improvises when necessary; optimizes past practice when approaching new situations; draws from disciplines beyond own areas of expertise when solving problems and making decisions.
- 5 Identifies strategic opportunities; acts on opportunities in a timely fashion; recognizes and produces a risk/benefit analysis to achieve a vision, mission or goal; moves beyond conventional wisdom, innovative; devises ways to remove obstacles and achieve results by drawing on an exceptionally broad range of life experiences and disciplines.

Visionary (TPS)

An individual who creates a clear and inspiring broad picture. One who moves, acts, and communicates at the appropriate time. Thinks openly about new possibilities. Keeps a long-term and broad perspective. Displays a spontaneous and wide-ranging imagination. Stays focused on the mission and goals while considering future impact and opportunities.

Behaviors

- Utilizes creativity and imagination
- Finds effective solutions by taking a broad perspective
- Demonstrates an awareness of the current working environment; stays aware of "big picture" issues and plans ahead, taking these issues into consideration
- Understands implications and actions needed to move the assignment, project, or organization forward
- Focuses on the future and the goals necessary to achieve success
- Applies a broad perspective to problem solving
- Foresees obstacles and opportunities
- Maintains the proper perspective between the overall picture and the details

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 This level is not measured for this competency.
- 3 Demonstrates an awareness of the current working environment; stays aware of "big picture" issues and plans ahead, taking these issues into consideration; considers future opportunities or requirements; considers the future impact of current decisions; maintains the proper perspective between the big picture and the details.
- 4 Is spontaneous and utilizes imagination and creativity to generate ideas; applies a broad perspective to problem-solving; is resourceful by utilizing creativity and imagination to see the overall work picture; understands the impact of action taken and moves projects forward within organizational guidelines.
- 5 Creates a visionary and inspiring broad picture that takes into account key strategic variables; considered an expert regarding perspectives on the broader issues; implements actions needed to move the assignment, project, or organization forward; consistently demonstrates exceptional understanding of the far reaching effects of a broad range of activities.

Change Agent (TPS)

Engages others in order to develop innovative solutions. Introduces new ways of thinking and behaving. Introduces new tools and technology. Encourages innovation and implements nontraditional ideas. Creates and implements new concepts, models, theories, and relationships to address work in new ways; motivates others to seek best practices.

Behaviors

- Looks continuously for new and/or non-traditional ideas, approaches and available resources to improve problem solving
- Experiments with ways to incorporate and use new technologies and methods to improve productivity and organizational effectiveness
- Identifies self as a catalyst for change to others
- Changes traditional patterns of thinking
- Promotes responsible change and breaks tradition when needed
- Looks for ways to remove obstacles that inhibit change

Proficiency Levels

- 1 This level is not measured for this competency.
- 2 This level is not measured for this competency.

- 3 Develops and shares best practices to encourage innovation and improve results; incorporates and uses new technologies and methods to improve productivity and effectiveness; considers new ways of thinking and performing; continually seeks improvement and ways to remove obstacles.
- 4 Promotes and implements comprehensive and responsible change in a variety of areas; coaches others in changing traditional ways of thinking; innovative and explores nontraditional ideas; challenges the standard or traditional way of doing things by experimenting with new ideas.
- 5 Considered a visionary catalyst for change; changes tradition when needed, by reforming and reorganizing how services are accomplished; creates new concepts, models, theories and relationships to align with organizational strategies.





A GUIDE TO INTEGRATING COMPETENCIES INTO MONTANA'S HUMAN RESOURCE PROGRAMS



**PERFORMANCE
MANAGEMENT
2000**

INTEGRATING COMPETENCIES INTO MONTANA'S HUMAN RESOURCE PROGRAMS

COMPETENCY-BASED PERFORMANCE MANAGEMENT

INTRODUCTION

An effective competency model supports the work of an agency. It accurately identifies competencies and related behaviors that predict successful job performance. Performance management links identified competencies and related behaviors to individual job performance.

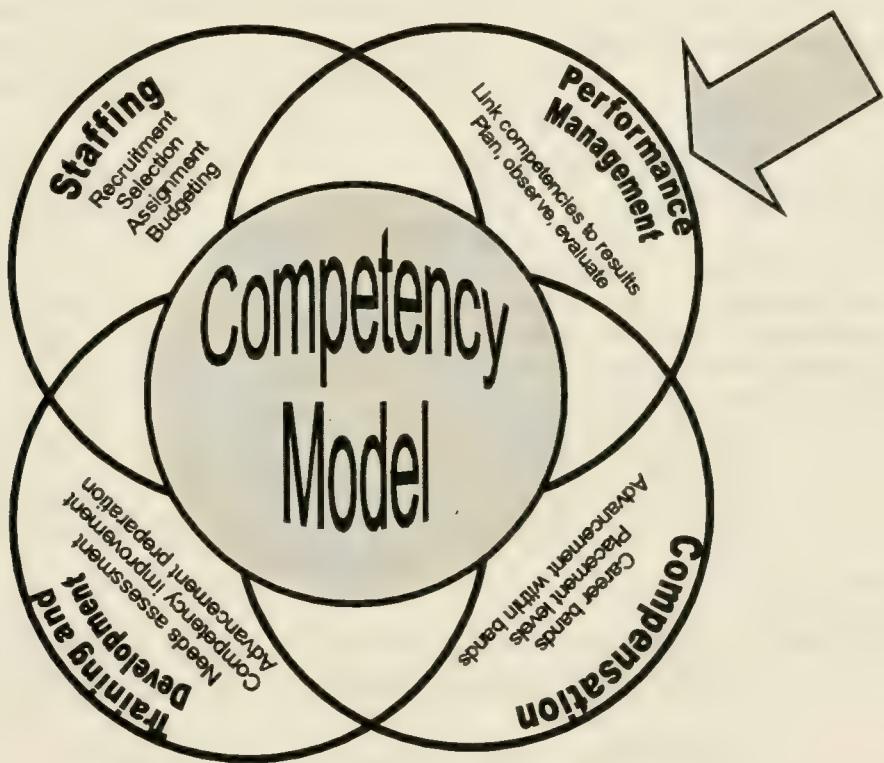


Figure 1: Performance Management linked to other human resource processes through a competency model.

Performance Management consists of three phases: planning, observation, and evaluation. Developing strong employee support requires employee involvement in all phases. Employees will better understand and accept the performance management process if they participate in developing, designing, and implementing it.

Much of the work done during menuing and theme analysis will provide a valuable foundation for performance management. The information about the context, customers, and work products will help tie performance management to the competency model developed.

Before developing a performance plan for each position, managers need to clarify three important areas. Upper management must define the expectations for the agency and each work unit. The project leader or immediate supervisor of the work unit must understand the responsibilities of each position in their unit, and identify which competencies employees need for success on the job.

PLANNING PHASE

Setting Agency and Work Unit Goals

Talking with employees about the objectives and goals of their work units will help identify how the unit provides services and products. This information leads to compiling a work plan that describes how the unit will meet its goals.

Some agencies conduct strategic planning sessions in which management and employees define agency, division, and work unit goals. These let employees know how their work affects the agency's overall mission. Much of this precedes competency model development (Refer to Chapter 2, Agency Readiness and Orientation). However, it is important to relate the agency's mission and vision statements directly to the work unit. Other useful information comes from the menuing and theming processes used in building the competency model. Reviewing the Context Menu developed in the menuing session will provide insight into factors that will affect the work unit now and in the future.

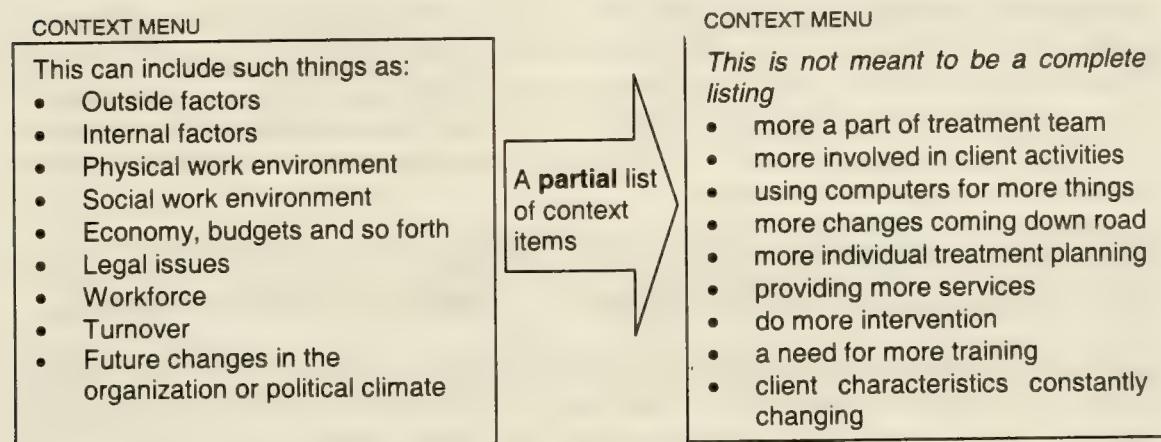


Figure 2: Context Menu: An example of the results obtained at the first step of menuing as described in Chapter 3, Creating Competency Models.

Listing Position Responsibilities and Duties

This step in planning relies on having position descriptions for each job in the work unit. Ideally, these will reflect the competency model. However, position descriptions that clearly list the duties and tasks of the different jobs in the work unit will provide a good starting point.

The manager or supervisor works with each employee to define a list of position responsibilities and duties critical to accomplishing the work unit's goals. The Output Menu developed during Step 3 of the menuing session can provide a comprehensive list of the products and services of the work unit. Other sources of

position responsibilities and duties are current position descriptions, work plans, or vacancy announcements. Flow charts of work processes from start to finish help identify specific responsibilities in a work unit. This may be a good time to review the assignment of responsibilities and duties in the work unit. After compiling list of the responsibilities or duties for each position, the manager or supervisor should choose the predominant or most important responsibilities and duties for each position, preferably no more than three or four.

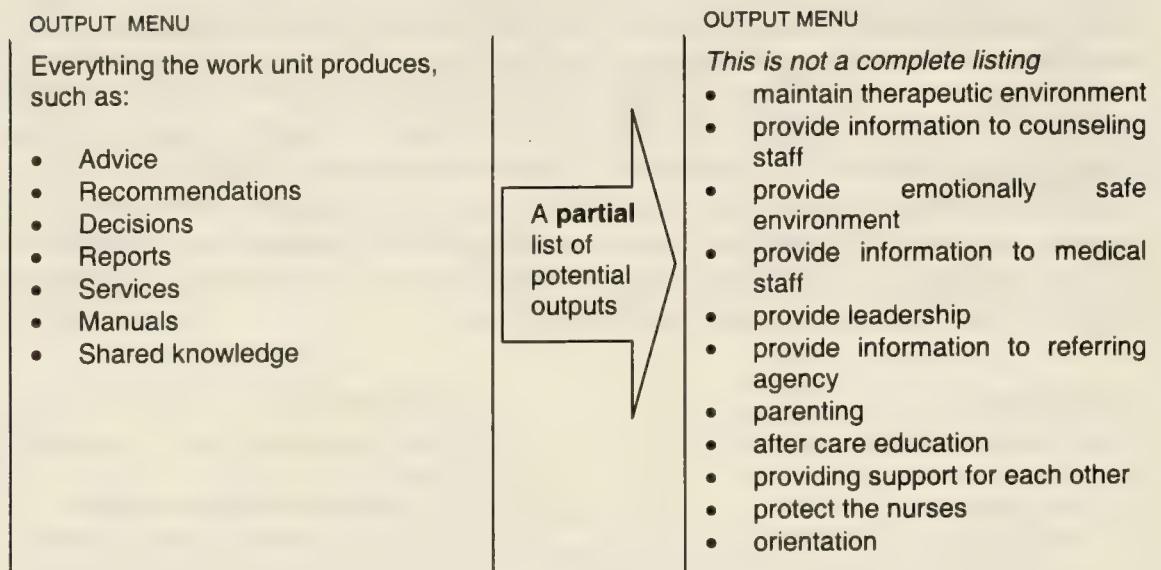


Figure 3: Output Menu An example of results obtained during Step 3 of the menuing process as described in Chapter 3, Creating Competency Models.

Generally, developing performance management tools and other applications follows building a competency model. Much of the work needed to identify factors affecting a work unit, the customers of the work unit, and its output happens while developing the model. This makes it simpler to design performance management tools and other applications while maintaining consistency throughout the system.

If a competency model was not built before starting competency-based performance management, one should be completed before proceeding. Chapter 3, Creating Competency Models details competency model development. This chapter describes the process used to develop the Statewide Competency Model (Chapter 4). State Personnel Division can provide additional information and assistance in building a competency model for work units and entire agencies.

The Statewide Competency Model lists competencies, competency definitions, and behaviors applicable to a variety of state government occupations. It can help identify competencies important to specific jobs, for all employees in a work unit, or of an agency. It is a useful dictionary of competencies, behaviors, and definitions to use in developing competency models.

Customizing the Performance Management Approach

Many managers focus on a mixture of competencies, behaviors, and results in performance plans. This mixed approach works well in changing work environments, service jobs, self-managed team situations, and training assignments for managers. Emphasis on either competencies or results may vary, depending on the work unit's objectives and the types of jobs in the work unit.

Emphasize competencies and behaviors to improve how employees perform work or how they behave while performing work. If increasing the output of the work unit is a priority, focus on results and work products. Results-oriented performance plans describe what employees produce. Best practices suggest that in a competency-based environment, a manager should customize the approach, measuring both behaviors and results even when emphasizing one or the other.

Linking Competencies to Responsibilities and Duties

Use the work unit's competency menu or model to identify the competencies and behaviors necessary to perform major responsibilities or duties listed earlier. Anyone in the job performing these duties will need to demonstrate these competencies. Pick two or three competencies that are most important for the successful performance of these duties and the overall job. Depending on the position, each competency list might be unique.

Each competency list should include competencies specific to the position or occupation. To keep the competency list manageable yet descriptive, the competencies need to reflect both the major duties and responsibilities of the position and the overall job as it fits into the work unit. Some competencies necessary to successful performance of the job may not show up in specific duty statements.

The final competency list for each position may be a mixture of behavior, knowledge, and skill competencies. In some cases, the same organization-wide, behavioral competencies will apply to all employees, such as relationship building, professionalism, or teamwork.

In contrast, knowledge and skill competencies often vary widely depending on the responsibilities and duties of the position. For example, a licensing clerk may need basic keyboarding skills. These competencies may not be important for other clerks who provide different types of customer service.

Adding Results

List specific results the employee or work unit should accomplish during the upcoming performance review cycle. These define the work products each

employee contributes to the success of the work unit. Reviewing the output list from the menuing session (Figure 3) will help identify individual results that are important to achieving the work unit's goals.

The employee must have direct control over any results listed. For example, a licensing clerk might need to make accurate change and ensure the correct fee is collected from each customer. However, the clerk may not have direct control over the number of customers served in a workday.

Measurement

Adding measurement to competencies and results creates clear expectations or performance standards. Once a manager or supervisor has determined how each competency or result will be measured, both management and the employee should have a clear idea of the expected performance standard.

Start by defining a ***Meets Expectations*** standard for each competency or result. This establishes the level of performance that is necessary for an employee to meet the requirements of a position. For example, a licensing clerk might need to collect the correct licensing fee in 98% of all transactions and balance the amount of money collected with the number of licenses sold 99% of the time. Once this standard has been set, a benchmark performance expectation or performance standard is available to measure superior or unacceptable performance against.

This process of setting performance expectations should reveal whether the competencies or results chosen earlier are important and verifiable. If a competency or result can't be accurately measured or is not critical to a job, it may not be significant to good performance and not worth including in individual performance plans. Not every competency or result needs to be included in individual performance management plans. In fact, a good plan will concentrate only on a few critical competencies and results.

The method used to measure performance must be reliable. Reliability means performance ratings will be consistent regardless of the person doing the rating. It is the extent to which measurements yield the same results on repeated trials, or the extent to which two observers agree on the same event.

Generally, developing accurate and reliable measurement involves two steps. First, choose the best type of measurement for each competency or result. Next, determine how each competency or result will be observed or monitored during the review period.

Types of Measurement

A measurement system will emphasize either processes or results. Measuring results usually works best if the connection between the job and the result is clear, current performance is close to the objective or work processes or skills are firmly established. On the other hand, measuring how an employee does the job, or the processes used, works best if the connection to end results is not clear, if current performance is far from the objective or if a new process or skill is being learned.

Quantitative Measures

Quantitative measurement usually refers to results-based standards through direct counts of products or procedures completed, percentages, or ratios. Other quantity measures can include the amount of production time, the percentage of increase over previous production, or the ratio between the number of items produced to the number of employee work hours. These types of measures lend themselves to precise definitions and assessment.

Direct counts provide useful feedback to employees, especially when the measure is compared to past performance. Supervisors and employees can quickly decide whether performance has improved or declined. Accurate direct counts provide highly objective, quantitative information. Percentages provide information quickly as well. With all direct measures care should be taken not to draw misleading conclusions from the information.

Type	Definition	Examples
Direct Counts	The most tangible and objective form of measurement. Direct counts are a record of the number or frequency of items or events.	<ul style="list-style-type: none">• Number of clients served• Number of claims processed
Percentages	These reflect the relationship between two sets of related data.	$\frac{\text{Number of claims processed correctly}}{\text{Total number of claims processed}} \times 100 = 90\%$
Ratios	These compare one set of direct counts to another. However, the two sets of data do not have to be related	Number of claims processed : total hours worked $24 : 8 \text{ or } 3 : 1$

Figure 4: Common quantitative measures

Performance planning using quantitative measures includes specifying duties and identifying the measure and expectations for each. As in the following example, expected results can be tied to a rating system that is also used to rate behaviors providing a combined, overall view of performance.

The licensing clerk will collect the correct licensing fee in 98% of all transactions.				
Quantity of Work: Consider the volume of acceptable work and/or speed with which tasks are completed. Rate on the basis of volume of work accomplished to volume of work required.				
5	4	3	2	1
Production level is exceptionally high. Far exceeds requirements of the position	Production level is consistently above requirements for the position.	Production level meets requirements of the position	Production level is sometimes below what is required	Production level is below the requirements necessary for the job. Generally too slow.
Quantity of Work				RATING:

Figure 5: An example of a results-based quantitative performance measurement tool.

These measuring systems provide readily obtained, objective data regarding performance. Quantitative measures, when available, offer the most tangible, objective means of measurement and should be used when possible. Frequently, however, quantitative measures are not available or practical to use.

The Internal Revenue Service experience illustrates the problems inherent in relying solely on quantitative measures. For years, agents' performance ratings depended on the number of cases successfully closed and the amount of delinquent taxes collected. This resulted in taxpayer abuses such as intimidation and failure to follow the principles of due process in order to obtain payment from targeted taxpayers. The victims were frequently lower or middle-income taxpayers who lacked the resources to argue their cases. With the recent "Taxpayers' Bill of Rights", this agency has had to completely revise its methods of doing business, including changes in performance management. Currently, agents are evaluated on behavioral measures more so than the old results-only system. The revised IRS system incorporates both quantitative and qualitative measures to evaluate agents' performance.

Principles of best human resource practices indicate that measurement systems need to include qualitative measures even for the most results-based job. Qualitative measurement provides useful tools for measuring behavioral competencies. A supervisor should look at **results**, what the employee produces and **behaviors**, how the employee produces these results. These areas are not exclusive. A well-rounded performance management system looks at both areas, though one might have greater emphasis.

Qualitative Measures

Measuring performance in terms of processes requires a more qualitative approach. Developing reliable qualitative measurement tools can be difficult. Without countable results, evaluation of performance becomes more subjective. This requires a clear understanding of the measures or expectations and the method

used to rate them. The list of behaviors generated during the development of the competency model will provide observable, measurable indicators of the competencies needed to do a job and a means to measure the more qualitative aspects of performance.

Common qualitative measures include anchored rating scales, checklists and the judgment of the supervisor or other observer. These have different strengths and weaknesses. A performance management system may need to include more than one of these to give a more rounded view of employee performance.

Type	Definition	Comments
Behaviorally Anchored Rating Scale	Define the characteristics of different or expected levels of performance in terms of observable behaviors.	<ul style="list-style-type: none">• Clearly defined dimensions of categories of performance• Well-defined anchors or performance levels along the scale.
Judgment	Expression of an opinion or perception, usually in a holistic or global fashion, without significant details or rational requirements.	<ul style="list-style-type: none">• Relatively easy to develop as defined criteria are not required.
Checklists	Provide specific criteria for a process or result that clarify judgment processes	<ul style="list-style-type: none">• Valuable for measuring qualitative dimensions such as quality, effectiveness, or degree.

Figure 6: Common types of qualitative measurement tools.

Rating scales define as precisely as possible the behaviors characteristic of different performance levels. These definitions or behavior lists provide the standards for comparison and assessment of performance. The tool may assign a numerical value or level to performance or compare performance to a standard expected level of performance, usually indicated as **Meets Expectations**. Ratings in this type of scale usually range from **Exceeds Expectations** to **Below Expectations or Needs Improvement**.

In best practice a rating scale will clearly define the performance categories and the behaviors that distinguish performance levels. For example, a licensing clerk may need the ability to make decisions about license rules and regulations. A clerk who **Meets Expectations** would independently make most decisions about regulations but know when to seek help from co-workers. A clerk who **Exceeds Expectations** would consistently make appropriate decisions when interpreting and applying laws and regulations, without co-workers' assistance. Clerks who **Need Improvement** might frequently ask others to decide for them, never seek help, or consistently make incorrect decisions when interpreting and applying laws and regulations.

Directions: Carefully review employee's work performance in relation to their current job requirements. After each descriptive statement assign a rating of 1 - 3. Below are the descriptions of the ratings:		
1 Exceeds expectations	2 Meets expectations	3 Below expectations
Communication - Expresses ideas in individual and group situations both orally and in writing. Listens objectively and ensures mutual understanding. Adjusts language or terminology for intended audience.		Statement Rating (Circle one)
Oral expression is clear, organized and concise.		1 2 3
Written correspondence is grammatically correct, concise and is easily understood by others.		1 2 3
Understands what is being said, listens to others and rephrases thoughts and ideas to ensure mutual understanding.		1 2 3
Uses appropriate mode of communication for each situation.		1 2 3
Considers and uses appropriate style and language for the target audience.		1 2 3
ENTER PERFORMANCE FACTOR RATING 1 - 6		

Figure 7: An example of a rating scale adapted from addendum A. this scale lists specific behaviors or characteristics used to assess performance.

Judgment is the expression of an opinion or perception without significant detail or specifically defined criteria, anchors or measures. Supervisors exercise judgment when they commit to a sensible, logical and valid action or reach a reasoned conclusion based on documented, supportable facts. Using judgment to evaluate performance involves gathering, organizing and comparing information to assess employees' competencies. This system requires regular, careful documentation of observations by the supervisor so that decisions based on this process have a logical explanation. Without this, the results of judgment may be less accurate than results obtained through anchored rating systems.

Managers frequently use judgment to clarify and evaluate the results of other performance measures. For example, evaluating a complaint requires looking at the circumstances of the incident to determine if a performance deficit exists. Lack of agency resources may have affected employee performance, and improving resources may be the key to improved performance.

Checklists or behavioral inventories combine the judgment of the supervisor, or other observers, such as customers, with behavioral anchors. A customer survey may describe customer service using such items as:

- Did the clerk explain the licensing statute, or tell you where to look it up?
- Did the clerk help you within a reasonable time, or did you have to wait a long time?
- Was the clerk cheerful and pleasant, or negative and rude?

Checklists increase the clarity of expectations by providing more specific criteria against which to judge results and feedback for improving or maintaining performance levels. They are especially valuable in measuring qualitative dimensions. Customer surveys frequently take the form of "Yes/No" checklists.

Either the desired behavior is present or it is not. Managers can compare the number of "yes's" to the number of "no's" to evaluate performance.

Quality of Service Checklist		
Did customer service representative:	Yes	No
1. Arrange call specifications with you		
2. Arrive on time		
3. Greet you promptly and courteously		
4. Listen to your needs		
5. Answer the your questions to your satisfaction		
6. Arrange for follow-up		
Have each customer complete the survey. Meets Expectations = 80% Yes responses on all surveys.		

Figure 8: Customer survey lists expectations that may require judgment to assess.

Some behaviors require more detail in describing expectations and setting a standard. The manager could list a variety of behavioral indicators exhibited by top performers or behaviors necessary to perform the job and use judgment to complete a "plus, check, minus" (+, ✓, -) checklist. The number or percent of behaviors rated at "✓" or above would define expectations. Some management decisions may need a method for converting the information obtained to a number in order to arrive at an overall rating.

Instructor Observation Checklist		
Instructor:	Class:	Date:
Course Design and Conduct	+ , ✓ , -	Comments
Facilitates participant introduction		
Course introduction clear (purpose, objectives, etc.)		
Lecture & activities follow handout(s);		
Exhibits thorough knowledge of material; confident		
Responds appropriately to questions		
Promotes discussion by and among participants		
Illustrates and clarifies main points		
Minimum of two activities relevant to content		
Activities introduced and facilitated clearly		
Conclusion: clear summary, focus, motivation, etc.		
Platform Skills		
Pace of speech appropriate		
Voice projection adequate to rear of room		
Voice inflection appropriate		
Language clear, definite, concrete, appropriate level		

Figure 9: The rater uses judgment to select a level of performance. The employee would be expected to attain a specified percentage of scores at ✓ or better.

The competency model will list the competencies that are critical for success in the job. Even competencies that appear subjective or unmeasurable can be given numeric values. This concept may help assign an overall rating or score necessary for using competencies in compensation determinations. For example, if demonstration of "*Commitment to Profession/Keeps Current*" is critical to success in the job of Programmer Analyst, a manager needs to decide on an appropriate and job-related measure of this competency. The following example defines expectations in terms of how often the employee exhibits a desired behavior.

Commitment to the Profession/Keeps Current: Desires and actively seeks continuous learning in a profession.		
Rating Scale:		
0=Does not exhibit the behavior.		
1=Seldom exhibits this behavior even when appropriate.		
2=Usually exhibits this behavior when appropriate.		
3=Always exhibits this behavior when appropriate. Is a role model for others and encourages the behavior in others.		
Expected Behaviors	Rating	Comments
When new tools and systems are available, learns about them and uses them on the job.		
Takes opportunities to attend employer or vendor-sponsored seminars when available.		
Looks for and suggests opportunities for improving work methods.		
Total =		

Figure 10: Measurement of behavioral frequency

Gathering Information About Performance

Both managers and employees should clearly understand the methods of gathering information before the start of each performance cycle. Some methods include review of completed work or work in progress, information gained at staff meetings, regular employee progress reports, or direct observation of employees at work. Additional information can come from customer surveys, self-assessment, or observations by others.

Someone other than the manager may provide some of the information. Many managers find it impossible to constantly observe and know everything employees do at work. For example, some regional managers supervise workers in remote offices. Those supervisors often gather information from other agency managers or from an employee's co-workers and customers.

Multiple sources of feedback may provide a useful picture of employee performance. Different people may see different relationships between behaviors

and performance standards. This method can minimize the biases people have about their own and others' behavior. Employees may consider information from numerous people as more balanced and reliable than performance information from a single source. Since multiple sources are not always more accurate than the supervisor's own observations, he or she needs to compare the results of both sources of information in reaching conclusions. If multiple observers will provide part of the information used in performance measurement, the supervisor and employee should identify potential observers and their role during the planning process.

The Final Planning Steps

Before meeting with each employee about his or her performance plan, the employee should have a copy of the responsibilities, duties, competencies, and expected results of the position. The supervisor should also provide a proposed method for performance measurement and the employee's performance expectations with adequate time for review.

The employee needs to understand the performance expectations management has set for the position. The supervisor may need to discuss these in depth to ensure understanding and to reach agreement with the employee. Performance expectations should include plans for handling changes during the observation phase, such as new job duties or special assignments. Both the supervisor and the employee sign and date the final performance plan, and both will have a copy for use as a reference.

Overall Performance Ratings

Management and employees usually find that performance appraisal ratings are more effective when they focus on each performance standard individually and independently. Overall ratings may overshadow or downplay the importance of individual competency or results ratings. For example, an overall performance rating of **Meets Expectations** may provide an inaccurate impression that the employee does not have areas that need improvement, or that areas targeted for improvement are not important.

There are times that an agency may use overall ratings effectively and appropriately. Depending on the agency's needs and desires, some situations, such as making decisions about hiring, promotion, layoffs, or pay, may require the use of overall performance ratings. Upper management of an agency should make the decision to use overall ratings in these and other situations carefully and on a case-by-case basis. During the planning phase, supervisors need to inform employees of this requirement and discuss the purpose of an overall rating. Performance appraisal tools should reflect the need for an overall rating and provide a consistent relatively easy method for converting ratings of individual behaviors or results to an overall "score".

Commitment to the Profession/Keeps Current: Desires and actively seeks continuous learning in a profession.

Rating Scale:

0=Does not exhibit the behavior.

1=Seldom exhibits this behavior even when appropriate.

2=Usually exhibits this behavior when appropriate.

3=Always exhibits this behavior when appropriate. Is a role model for others and encourages the behavior in others.

Expected Behaviors	Rating	Comments
When new tools and systems are available, learns about them and uses them on the job.	2	
Takes opportunities to attend employer or vendor-sponsored seminars when available.	3	
Looks for and suggests opportunities for improving work methods.	2	
Total =	7	

Overall Competency Assessment Score: Total Score/Number of behaviors; $7/3 = 2.33$

Figure 11: Measurement of behavioral frequency with scoring to demonstrate one method of converting competency ratings to an overall score needed for human resource functions such as compensation, promotions or layoffs.

Other formats for setting up performance management tools are in the addenda to this chapter. These come from private sector business and illustrate the best practices outlined in this chapter, especially the focus on competencies. Managers may use these as examples when tailoring performance management systems for individual work units.

OBSERVATION PHASE

The second phase of performance management, observation, is a regularly recurring period of time established by an agency's performance evaluation policy. It occurs between the planning and evaluation phases. In addition to providing the information needed for accurate evaluation, active observation provides the opportunity to improve workplace communication and foster employee training and development.

Time and energy spent in careful planning helps ensure successful observation and documentation of performance. Managers and employees need a clear understanding of the performance expectations outlined in each employee's performance plan. Those standards should describe what supervisors and managers will look for during the observation phase of performance management.

Observing and Monitoring Performance

Effective performance measurement includes performance observation. Depending on various factors, such as the type of information needed, a supervisor can choose one of several methods of observation.

- Casually or informally observing employees at work
- Spot checking
- Setting specific times to observe work in progress, such as tracking the time it takes clerks to wait on customers or watching clerks interact with customers
- Reviewing and analyzing completed work
- Verbal or written reports of work in progress submitted by employees on a regular basis.
- Staff meetings to gather information about work in progress and employee performance on a regular basis

Each method provides information about how employees demonstrate competencies on the job. Behavioral indicators identify the competencies specified in the performance plan. Managers and supervisors may gain other important information as well. In the process of direct observation, a manager may discover conditions that impede peak performance outside of the employee's control.

Managers and supervisors who do not have the opportunity to directly observe employees frequently or regularly or to monitor their work can obtain performance information from other employees, managers, and the customers. Multiple sources of feedback can provide an objective and balanced view about employees' performance. There are drawbacks to this method, especially if the pool of potential observers is small. One nonobjective observer can significantly affect results either positively or negatively. Some people tend to give everyone high praise while others

may intentionally give a poor assessment of a coworker. To avoid these pitfalls, a supervisor should compare these comments to their own observations and information from other sources.

Documenting Performance

Usually supervisors compile employees' formal performance appraisals months after the work is completed. Unless documented when they occur, important incidents or accomplishments may be forgotten or overlooked. Good documentation, containing objective information, will save time and increase objectivity when compiling written appraisals. Further, it will support management decisions regarding such areas as promotions, discipline, or terminations.

Documentation can take various forms. Many managers keep a journal, the following example, which includes performance notes about individual employees. A good journal will include specific incidents that illustrate an employee's performance, both good and bad. It also will include dates, times, and actions the supervisor and the employee took to improve performance.

Figure 5a: Sample personal journal. This table can be set up electronically or printed out. Use as many pages as needed for each employee.

Suggested ways of observing performance:

- Spot check observations
- Review of completed work
- Staff meetings and verbal reports
- Special activities
- Written status reports
- Critical incidents
- Directed conversations
- Customer feedback
- Surveys or comments from others
- Personal knowledge

Interpersonal Understanding: Building strong work relationships and adjusting to how individuals, organizational units and cultures function and react; the ability to sense how others are feeling and foster rapport with co-workers and customers, without intent to persuade or influence.

Decision Making: independently takes action and responsibility for solving problems and making decisions designed to achieve desired outcomes. Uses good judgment.

Creative Problem Solving: The ability to generate ideas, fresh perspectives, and original approaches and to engage in open-minded thinking; "thinks out of the box" and goes beyond traditional ways to address issues despite obstacles or resistance.

Leadership and Mentoring: Ensures successful project outcomes by making sure all those within and outside the organization who are key to success have the information and training needed to coordinate and get the job done. Shares project and personal knowledge and experience in a will and non-possessive manner and has the ability to be a good teacher. Mentors others in their weak areas to improve the performance necessary to achieve success.

Figure 5b: Personal journal example. A reference page to include with each employee's journal. Including the descriptions of the competencies measured helps focus attention on the critical behaviors for success on the job.

Other ways of documenting job performance include keeping copies of employees' work, taking accurate meeting notes, or collecting job-related comments from other supervisors, coworkers, or customers who directly observe the employee's work. Whatever the method, documentation must address job-related performance, behaviors, or results.

Communication and Feedback

Depending on the situation, a manager may give employees both informal and formal feedback about performance. Informal feedback is unscheduled. It occurs throughout the observation period and focuses on specific situations immediately after the performance is observed.

In some organizations, managers hold formal or structured feedback sessions on a midterm, quarterly, or monthly basis. During these sessions, or formal performance progress reviews, managers review an employee's overall performance. These sessions also may be used to update performance plans if an employee's duties and responsibilities change during the year.

When an employee fails to meet performance standards, the supervisor should not wait for a formal progress review to act. If poor performance exists, he or she should provide immediate constructive feedback and have a performance coaching session

that lets the employee know his or her performance matters and provides practical suggestions for improvement.

While there are times when discipline and performance management overlap, usually discipline is a separate area of employee management. Managers and supervisors should handle it as a separate event and make it a formal process where definite steps are followed. More information about formal discipline is available from agency personnel offices or State Personnel Division.

Most managers have developed methods for fostering workplace communication. They include encouraging an open and honest dialog between managers, supervisors, and employees, and asking employees for ideas about reaching their own and the unit's performance goals. Managers reinforce desired behaviors by praising employees for good performance and building confidence in their ability to get the job done. Successful managers find out how their employees are doing and ask them for their solutions to work unit problems and challenges. This develops an atmosphere that encourages a free exchange of ideas and helps employees think through the consequences of their actions.

Training and Development

The observation phase will help identify areas where training is necessary to help improve competencies. During this period, managers should consider training options and set a training schedule.

Formal training might include courses offered by the State Personnel Division's Professional Development Center, such as improving writing skills, giving effective presentations, or improving mediation skills. Local colleges of technology, business schools, or universities are also excellent places to send employees for formal training.

On-the-job training may involve assigning an employee to work on a special project or temporarily work in another position in the work unit. Assigning the employee to another work unit in the agency provides an opportunity for the employee to learn about other agency functions. Managers should look for training opportunities that will help employees develop competencies necessary for successful performance and that promote the agency's mission and vision.

Providing a mentor is another effective way to improve an employee's competencies and help an employee achieve his or her career goals. A mentor should possess the competencies the employee needs to develop. The mentor may be from inside or outside the work unit and should help the employee set an action plan for improvement and development.

Coaching helps develop competent employees and improve performance. A coach offers resources that assist an employee in finding workable solutions. A good coach sincerely believes in the employee's abilities, cares about the employee, and is honest with the employee.

EVALUATION PHASE

Accurate and fair performance evaluations depend on the effort devoted to performance management during the planning and observation phases. Adequate time devoted to the previous phases should reduce employees' evaluation surprises.

The evaluation phase involves three main steps:

- Compiling and evaluating actual performance information,
- Using that information to rate performance, and
- Holding performance interviews with employees.

Compiling and Evaluating Behaviors and Results

The supervisor or manager gathers the information collected during the observation phase. This may include the manager's journal or performance observation notes, meeting notes, copies of the employee's work, employee prepared activity reports, and customer surveys. If the performance management plan included input from observers other than the supervisor, this should be provided as written comments.

For each employee, the supervisor may find it helpful to consolidate the above information into a list that shows an employee's actual behaviors and results. This list should clearly show the employee's actual performance during the observation phase. It should have facts and objective information about performance.

Some managers have employees assess their own performance. Employees should use their performance plans, examples of their work, and other information to list the behaviors they have demonstrated and the results they have achieved. Self-assessments, such as the example on the following page, help managers determine actual performance by fostering employee participation and letting employees share their perceptions of performance.

SELF ASSESSMENT

Name: _____
Review Period: _____
Date: _____

Instructions:

This self assessment form will serve as one part of the total performance evaluation process and is designed to give you an opportunity to evaluate your own performance as it relates to critical competencies identified by agency division staff in previous meetings. The performance management program at the Department of _____ is intended to improve organizational performance through performance improvement and growth in each employee.

Please read each of the behavioral categories on the following pages and rate yourself on all of the individual behaviors listed under the competency using the (check, plus, minus, n/a) scale described below. Your rating should be based upon your own experiences and observations over the past review period. Record your ratings in each of the boxes next to the behavior on the checklist. Use the comments section to record specific examples that support your rating.

<u>Rating -</u> of items in checklist	- : does not meet expectations
	✓ : meets expectation/behavior shown
	+ : exceeds expectations
	n/a : not applicable during this rating period

Rate each item using - , ✓ , + or n/a Provide comment if rating given is a - or +

Creative Problem Solving

Generates ideas, fresh perspectives and original approaches. Open-minded. "Thinks out of the box". Goes beyond traditional ways to address issues and problems.

	RATING	COMMENTS
Demonstrates a commitment to considering unique ideas from a variety of sources.		
Recognizes what issues constitute a need for a solution with creative thinking.		
Develops or supports the introduction of new and improved methods, procedures and/or technologies.		
Anticipates budgetary implications of new ideas and plans accordingly.		
Follows through with implementation of ideas.		

Figure 7: This basic example shows only one competency. A complete self-assessment would add similar tables for other competencies in the performance management tool.

Determining Ratings

Comparing the employee's actual behaviors and results to the performance standards described in the performance plan should show whether the employee met the performance expectations set during the performance-planning phase. The details provided by the measurement agreed on during the planning phase for each competency or result show how closely the employee's performance matched expectations. For example, do observation notes about the licensing clerk describe how often he or she made independent regulation decisions? Were the decisions correct most of the time? Does the documentation show how often he or she asked other clerks for advice about regulations? Did the employee consistently collect the correct fee? Did his or her cash register balance most of the time?

Performance documentation should clearly show the relationship between actual performance and the expectations outlined in the performance plan. From this data the supervisor can determine where actual behaviors or results fall in terms of the **Exceeds Expectations, Meets Expectations, or Needs Improvement** rating scales.

When deciding the employee's rating for each competency or result, "**Meets Expectations**" means the employee is meeting the job requirements. It does not mean the employee is "average", because performance standards or expectations in some positions are very high.

Avoid comparing the employee's performance to other coworkers. When deciding a rating, compare each employee's actual behaviors and results to the performance measures selected during the planning phase.

Examples of actual behaviors or results that clarify performance ratings should be included in a "COMMENTS" section for each performance standard. These examples should be readily available from the manager's journal and other performance documentation.

For example, these comments should describe how a clerk, who **Meets Expectations in customer service**, has been cheerful and friendly with most customers. The example might state the supervisor directly observed the clerk with fifty customers on fourteen occasions during the past year. In every interaction but one, the clerk's voice was pleasant while explaining the licensing procedure, and he or she greeted all customers with a smile. Eighty percent of the clerk's customer service surveys also indicated cheerful and helpful service.

Pitfalls to Avoid

Pitfall	Description	Why It's a Problem
Central Tendency	Some managers give Meets Expectations in all or most categories for all employees.	In every organization people have both strengths and weaknesses. This pitfall fails to give them credit for their strengths and does not give the manager a handle for improving weaknesses.
Leniency	Some managers avoid giving Needs Improvement ratings even when they are indicated by the data gathered during the Observation Period.	This sends a message to employees that performance appraisals are meaningless because nothing is ever done about poor performers.
Halo Effect	This occurs when performance in one area affects a manager's judgment in other areas. The result can be higher ratings in weak areas than performance data indicates or lower ratings in strong areas.	Like the Central Tendency, this does not recognize strengths or weaknesses. The employee has no direction for improvement or recognition of strong areas.
Recency Effect	The manager or supervisor lets recent incidents affect ratings for the entire evaluation period.	If recent events or behavior are negative, significant accomplishments can be overlooked. Likewise, recent accomplishments can mask prior performance problems. Keeping accurate records of overall performance throughout the evaluation period will reduce the likelihood of this pitfall.
Contrast and Similarity	The evaluator compares employees to him/herself and rates those that exhibit similar behaviors or attitudes higher than those that are different.	This limits the expression of competencies to a few behaviors. the supervisor may fail to recognize competencies. This can send the message that trying to improve is a waste of time.

Conducting Performance Review Meetings

Many of the methods used to improve communication, provide feedback, or performance coaching apply to the performance review meeting. The meeting should be a mutual effort to review past performance and plan for improving future performance. Some managers believe the employee should do 80% of the talking

and the manager 20%. In some instances, the process may take place over two or three meetings, to discuss the results of the performance review, establish goals for improvement and methods for achieving these goals.

Open-ended questions are a good way to get an employee to talk about his or her performance. The manager might ask, "In what areas do you think you are a strong performer? In what areas do you think you need improvement?"

The review meeting should be private, with plenty of time for the employee to respond to each rating and with minimal interruptions. This shows the employee this meeting is a priority and is important to the agency. The evaluator should focus on the employee's actual on the job behaviors and results, and discuss the reasons for each performance rating.

If the employee did a self-evaluation, and these ratings differ from the supervisor's ratings, the two should explore the reasons for the discrepancy. The employee should be encouraged to discuss his or her perceptions of performance and asked for solutions to performance problems. The supervisor should be ready to discuss his or her ideas for improving performance as well.

To improve performance, the supervisor and employee should discuss and write an employee improvement and development plan. The employee should identify formal or informal training that could help improve performance, and needs to know that management is committed to helping him or her build competencies and improve performance.

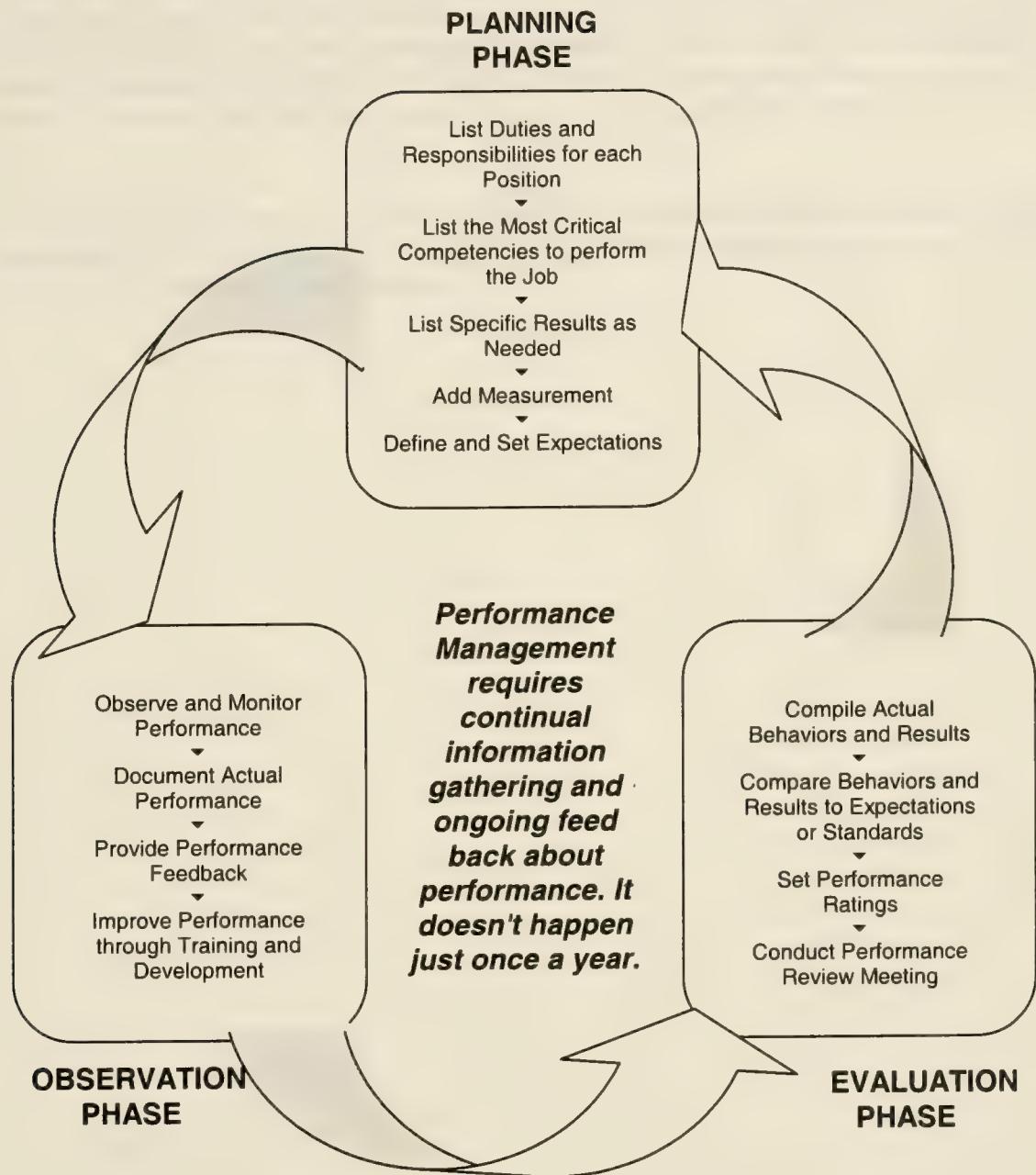
The supervisor should ensure the employee understands the procedures for responding to or grieving a performance evaluation. This policy should outline the time period employees have to respond to a performance evaluation and the correct process to follow.

Follow up

The manager and employee should sign and date the final review form and the supervisor distributes the final form according to the agency's performance evaluation policy.

Performance management is an ongoing process. The results of this evaluation phase form the basis for beginning another performance planning, assessment, and evaluation cycle. Managers should schedule a meeting to set new work assignments and review the work unit's performance.

PERFORMANCE MANAGEMENT MODEL



ADDENDA

The following addenda have been taken from a collection of performance management systems taken from the private sector, published by Watson and Wyatt Data Services, 1998. The ECS Exhibit Book of Performance Management Systems, Book II includes numerous examples that can be adapted for use by different agencies. The three presented here were chosen because they incorporate many of the suggested best practices discussed in this chapter. The introduction to each addendum lists the desirable features of the system presented.

These generic formats can be customized to fit the needs of different work units or agencies. Additional information and examples are available through the HRSS Bureau at State Personnel Division.

ADDENDUM A

Sample Performance Management System

This addendum provides an example of a performance management system that incorporates many of the features or components described in this chapter. This system comes from the private sector, in use by an insurance company.

This example shows an integrated approach to performance management. Like the best practices recommended in this chapter, it features:

- A method for translating a competency model into a performance rating tool
- Employee self-appraisal format
- Staff development planning

ADDENDUM A

PROGRAM SUMMARY

Program Type Rating Scales

Industry Insurance

Year Program Adopted 1994

Key Features of Program

Brief Description: The performance of each employee is evaluated vs. from six to 11 standardized performance factors, depending on employee group. Separate forms are used for managers, professional staff and nonexempt staff. Self-appraisal is an important feature of the program. An overall performance rating is assigned using a six-point scale.

Employee Groups Covered: Management (excluding Top Management), Exempt Non Management, and Salaried Nonexempt

Number of Employees Covered: 300

Frequency of Appraisals: 12 months

Level of Employee Involvement: High (e.g., employee provides self assessment as part of the appraisal process).

Program Effectiveness

This program was considered *moderately effective* in achieving the following objectives:

- Determining salary increases.
- Determining variable pay awards.
- Fostering two-way communication between manager and subordinate.

Guidelines and Instructions/Forms
PERFORMANCE APPRAISAL FORM
DIRECTOR/MANAGER

Employee Name: _____

Title: _____ **Department:** _____

Person Conducting Appraisal: _____

Performance Appraisal Period: _____

Directions: Carefully review employee's work performance in relation to their current job requirements. The form is broken down into several Performance Factors which are made up of descriptive statements. After each descriptive statement assign a rating of 1 - 3. Below are the descriptions of the ratings:

1 Exceeds expectations

2 Meets expectations

3 Below expectations

If the Performance Factor *does not apply* to the individual being appraised, check the box following the factor.

After rating all of the descriptive statements, review and apply an overall rating as described below. Write the rating in the space provided for each Performance Factor. It is also necessary to document in the comments section specific examples/incidents or patterns of performance to support your evaluation rating.

1. Job performance consistently exceeds the established performance measures for the job. Employees at this level demonstrate a sustained mastery of all job elements over an extended period of time.
2. Job performance exceeds all or most of the established performance measures for the job. Employees at this level do more than required on an ongoing basis.
3. Job performance fully meets the established performance measures for the job. Employees at this level consistently do whatever is required. Performance beyond job requirements occurs occasionally.
4. Job performance meets some, but not all, of the established performance measures for the job. Employees at this level have been assigned new duties or are still learning their jobs.
5. Job performance meets some, but not all, of the established performance measures for the job. This employee should be performing at a higher level and future performance must improve.
6. Job performance is well below the established performance measures for the job. There are serious performance problems. Work quality is clearly unsatisfactory and if the employee is to remain employed, the employee must improve in a short period of time to avoid being removed from his/her position.

To determine the employee's Overall Performance Rating, review the Performance Factors and determine the overall Performance Appraisal rating of 1 - 6 as described above. The overall performance rating should be placed on the last page of the appraisal in the space provided. If the employee has received an overall rating of 6 and remains employed, a Performance Improvement Plan is required.

After the form is completed, please sign and submit the form to the next level of management for approval and signature. Once approval signatures are obtained, please return the form to Human Resources for review. Human Resources will then return the form to you for discussion with each of your employees. Once the Performance Appraisal discussions have been completed and the employee has applied his/her signature, return the Performance Appraisal forms to Human Resources for filing.

PERFORMANCE FACTORS

Staff Development - Recognizes and develops skills of subordinates. Provides ongoing coaching and performance feedback.	Statement Rating (Circle one)
Sets developmental objectives with subordinates; encourages and monitors progress.	1 2 3
Helps to encourage subordinate involvement as a means of improving effectiveness and teamwork.	1 2 3
Provides responsibility and authority to encourage team members to make decisions and solve problems appropriate to their developmental level.	1 2 3
Provides subordinates with performance feedback which is frequent, meaningful and timely. Appropriately documents performance.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 - 6	

This performance factor does not apply.

Comments: _____

Functional/Department Planning - Anticipates needs, determines priorities and establishes appropriate courses of action.	Statement Rating (Circle one)
Uses company and department goals as a guideline for team and individual goals. Negotiates and sets goals, targets and objectives with team.	1 2 3
Prioritizes, delegates and achieves results through planning and organization to enhance department and corporate goals. Meets quality commitments and schedules.	1 2 3
Defines and arranges activities into logical and practical course of action and properly utilizes available resources.	1 2 3
Alters plans to support corporate objectives and when necessary reacts quickly to changing circumstances.	1 2 3
Anticipates and prepares staff and organization for changing conditions through department planning.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 - 6	

This performance factor does not apply.

Comments: _____

PERFORMANCE FACTORS

<u>Problem Analysis</u> - Evaluates pertinent information from a variety of sources, identifies issues to determine relevant solutions to problems and makes appropriate decisions.	Statement Rating (Circle one)
Develops a thorough understanding of the problem and identifies the root cause by analyzing information from all possible sources.	1 2 3
Professionally confronts conflict, collects all relevant information before reacting. Identifies and determines equitable resolutions.	1 2 3
Recognizes essential elements of a problem and uses sound judgment when considering priorities and alternatives.	1 2 3
Uses creative approaches and initiates original ideas when solving problems and completing projects.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 – 6	

This performance factor does not apply.

Comments: _____

<u>Decision Making</u> - Arrives at sound decisions with positive results, takes action and commits to the decision and its results.	Statement Rating (Circle one)
Communicates decisions to all affected parties prior to implementation of the decision.	1 2 3
Accepts responsibility for decisions and modifies plans as necessary.	1 2 3
Considers long-range as well as short-term impact.	1 2 3
Demonstrates creativity and resourcefulness in developing better methods to accomplish assignments.	1 2 3
Makes timely decisions. Does not procrastinate or rely on others to make his/her decisions.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 – 6	

This performance factor does not apply.

Comments: _____

PERFORMANCE FACTORS

Communication - Ability to express ideas clearly and concisely in written, oral and visual form to individuals and groups as well as internal and external contacts.	Statement Rating (Circle one)
Maintains a free flow of open communication in which relevant information is shared with superiors, subordinates and peers.	1 2 3
Actively listens. Hears, understands and evaluates information and instructions.	1 2 3
Speaks with confidence and clarity when participating in presentations and meetings.	1 2 3
Written correspondence is grammatically correct, concise and is easily understood by others.	1 2 3
Expresses ideas clearly and concisely in individual and group situations.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 – 6	

This performance factor does not apply.

Comments: _____

Leadership - Influences others to strive toward objectives; inspires staff to productive achievement; provides environment for self-motivation and teamwork.	Statement Rating (Circle one)
Provides encouragement, guidance and direction to co-workers and/or subordinates. Ability to coach and develop others.	1 2 3
Motivates others to work toward common organizational goals.	1 2 3
Demonstrates a personal commitment to achieving organizational goals. Commitment is evidenced through personal actions and behaviors.	1 2 3
Provides support to team efforts to ensure achievement of goals. Revises goals as necessary.	1 2 3
Understands and accepts individual differences, utilizes staff strengths and optimizes functional effectiveness.	1 2 3
Self confident and effective in dealing with all levels of people. Weighs other viewpoints objectively and gains acceptance from others.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 – 6	

This performance factor does not apply.

Comments: _____

PERFORMANCE FACTORS

<u>Collaboration/Teamwork</u> - Works with staff and internal customers to accomplish organizational and departmental goals. Effectively assesses impact of changes and coordinates efforts with peers. Respects the opinions of others and positively accepts feedback.	Statement Rating (Circle one)
Develops good internal and external working relationships and gains cooperation and support.	1 2 3
Effectively interacts with others regardless of level or status.	1 2 3
Recognizes the internal customers and identifies their expectations.	1 2 3
Responds quickly and appropriately when an internal customer satisfaction breakdown occurs and seeks ways to prevent it from reoccurring.	1 2 3
Seeks out customer evaluation and feedback to improve service, work, processes, etc.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 - 6	

This performance factor does not apply.

Comments: _____

<u>Delegation and Development</u> - Appropriately assigns responsibilities based on employee capabilities. Plans for and follows through on employee development activities and regularly appraises employee performance.	Statement Rating (Circle one)
Reasonably delegates decision making to a lower level in order to allow employees to exert more influence over their work environment.	1 2 3
Delegates responsibilities to subordinates with authority to act on their designated duties.	1 2 3
Completes subordinates' performance appraisal forms in a thorough and timely manner and exercises judgment and discretion when reviewing second level appraisals.	1 2 3
Self confident and effective in dealing with all levels of people. Weighs other viewpoints objectively and gains acceptance from others.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 - 6	

This performance factor does not apply.

Comments: _____

PERFORMANCE FACTORS

Cost Control - Develops and manages the budget process, monitors financial data, takes corrective measures and contributes to cost containment initiatives.	Statement Rating (Circle one) 1 2 3 1 2 3 1 2 3 1 2 3
Establishes accurate budget projections and works within designated budget.	
Considers cost implications of decisions. Often makes decisions which demonstrate a successful effort to reduce and control departmental expenses	
Accurately forecasts trends and makes appropriate adjustments for anticipated variances.	
Optimizes return on expenditures and develops methods for cost control and cost reductions.	
ENTER PERFORMANCE FACTOR RATING 1 - 6	

This performance factor does not apply.

Comments: _____

Organizational Impact - Contributes and works toward upward, downward and lateral communications, which assist in producing a culture that most effectively and efficiently meets, our overall corporate objectives.	Statement Rating (Circle one) 1 2 3 1 2 3 1 2 3 1 2 3
Ensures that goals and objectives are effectively implemented and is consistently aware of their current status.	
Creates action plans or corporate recommendations that are comprehensive in scope and responsive to environmental changes.	
Communicates effectively to build high levels of trust, cooperation and creativity.	
Demonstrates ethical behavior in all transactions and interactions.	
ENTER PERFORMANCE FACTOR RATING 1 - 6	

This performance factor does not apply.

Comments: _____

PERFORMANCE FACTORS

Creativity Originality - Takes an active role in identifying strategic issues and direction, encourages and develops practices for continuous improvements in work processes and systems; demonstrates and fosters creativity and technical excellence.	Statement Rating (Circle one)
Contributes original ideas and seeks new and innovative ways to create quality improvements; continuously refines work processes.	1 2 3
Builds and fosters commitment to change by becoming knowledgeable, flexible and open to Ability to originate practical and useful concepts or programs; initiates actions quickly when necessary.	1 2 3
Implements corporate vision by developing strategic plans and programs for functional area(s).	1 2 3
ENTER PERFORMANCE FACTOR RATING 1-6	

This performance factor does not apply.

Comments: _____

SPECIAL PROJECTS/ASSIGNMENTS - List any special projects that the employee was assigned that merit special recognition.		
ENTER PERFORMANCE FACTOR RATING 1-6		

This performance factor does not apply.

OVERALL PERFORMANCE RATING: _____

List Performance Strengths:

List Areas for Growth

Supervisor's Comments About Performance Discussion:

Employee's Comments About Performance Discussion:

Approvals:

Appraiser's Signature _____ **Date** _____

Second Level Management Signature _____ **Date** _____

Employee's Signature _____ **Date** _____

Human Resources _____ **Date** _____

**EMPLOYEE PRE-APPRAISAL FEEDBACK
DIRECTOR/MANAGER**

NAME	DEPARTMENT
JOB TITLE	DATE

The Performance Appraisal process is intended to be a benefit to both you and the company. To assist you in preparing for your appraisal and to make it the most beneficial process possible we want to assure that your viewpoints are considered when you and your supervisor discuss your performance. Completing the Pre-Appraisal Feedback Form and promptly returning it to your supervisor will help make your annual appraisal meeting more productive. If additional space is needed in answering any of the items please use additional paper and attach it to this form.

ACCOMPLISHMENTS

What objectives/goals have you set for your department in the past year?

What special activities/planning/leadership was required to accomplish those goals?

What was the outcome (improved productivity, efficiency, processing, morale, reduced costs, etc.) of your objective/goal?

What obstacles did you overcome to accomplish your goals?

What steps did you take to manage the obstacles?

GOALS AND OBJECTIVES

What new activities would you like to learn in the next year?

What work-related goals would you like to accomplish in the next year?

What are your career objectives for the next 2 to 3 years?

What training, education or experience do you need to prepare you for your career objectives?

ADDITIONAL COMMENTS

Job Description

My current job description reflects my job responsibilities.

Agree

Disagree

I prefer not to complete the Employee Pre-Appraisal Feedback Form and Self Appraisal Form.

Employee's Signature _____

Date: _____

SELF PERFORMANCE APPRAISAL FORM DIRECTOR/MANAGER

Directions: Carefully review your work performance in relation to your current job requirements. The form is broken down into several Performance Factors. After each Performance Factor assign a rating of 1 - 6 as defined below:

1. Job performance consistently exceeds the established performance measures for the job. Employees at this level demonstrate a sustained mastery of all job elements over an extended period of time.
2. Job performance exceeds all or most of the established performance measures for the job. Employees at this level do more than required on an ongoing basis.
3. Job performance fully meets the established performance measures for the job. Employees at this level consistently do whatever is required. Performance beyond job requirements occurs occasionally.
4. Job performance meets some, but not all, of the established performance measures for the job. Employees at this level have been assigned new duties or are still learning their jobs.
5. Job performance meets some, but not all, of the established performance measures for the job. This employee should be performing at a higher level and future performance must improve.
6. Job performance is well below the established performance measures for the job. There are serious performance problems. Work quality is clearly unsatisfactory and if the employee is to remain employed, the employee must improve in a short period of time to avoid being removed from his/her position.

If the Performance Factor *does not apply* to the individual being appraised, check the box following the factor.

After you have rated each Performance Factor, please enter an overall rating that depicts your overall performance on the job. Please submit this form to the person conducting your performance appraisal. These forms will be turned in to Human Resources along with your Performance Appraisal.

<u>Staff Development - Recognizes and develops skills of subordinates. Provides ongoing co</u>	Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 - 6	1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

PERFORMANCE FACTORS

<u>Functional/Department Planning</u> - Anticipates needs, determines priorities and establishes appropriate courses of action.	Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 - 6	1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

<u>Problem Analysis</u> - Evaluates pertinent information from a variety of sources, identifies issues to determine relevant solutions to problems and makes appropriate decisions.	Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 - 6	1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

<u>Decision Making</u> - Arrives at sound decisions with positive results, takes action and commits to the decision and its results.	Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 - 6	1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

PERFORMANCE FACTORS

<u>Communication</u> - Ability to express ideas clearly and concisely in written, oral and visual form to individuals and groups as well as internal and external contacts.		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 - 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

<u>Leadership</u> - Influences others to strive toward objectives; inspires staff to productive achievement in subordinates; provides environment for self-motivation and teamwork.		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 – 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

<u>Collaboration/Teamwork</u> - Works with staff and internal customers to accomplish organizational and departmental goals. Effectively assesses impact of changes and coordinates efforts with peers. Respects the opinions of others and positively accepts feedback.		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 – 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

PERFORMANCE FACTORS

<u>Delegation and Development</u> - Appropriately assigns responsibilities based on employee capabilities. Plans for and follows through on employee development activities and regularly appraises employee performance.		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 - 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

<u>Cost Control</u> - Develops and manages the budget process, monitors financial data, takes corrective measures and contributes to cost containment initiatives.		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 - 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

<u>Organizational</u> - Contributes and works toward upward, downward and lateral communications which assist in producing a culture that most effectively and efficiently meets our overall corporate objectives.		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 - 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

PERFORMANCE FACTORS

Creativity and Originality - Takes an active role in identifying strategic issues and direction, encourages and develops practices for continuous improvements in work processes and systems; demonstrates and fosters creativity and technical excellence.		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 – 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

SPECIAL PROJECTS/ASSIGNMENTS - List any special projects that the employee was assigned that merit special recognition.		
ENTER PERFORMANCE FACTOR RATING 1 - 6		1 2 3 4 5 6

This performance factor does not apply.

OVERALL PERFORMANCE RATING: _____

PERFORMANCE APPRAISAL FORM PROFESSIONAL STAFF

Employee Name: _____

Title: _____ **Department:** _____

Person Conducting Appraisal: _____

Performance Appraisal Period: _____

Directions: Carefully review employee's work performance in relation to their current job requirements. The form is broken down into several Performance Factors which are made up of descriptive statements. After each descriptive statement assign a rating of 1 - 3. Below are the descriptions of the ratings:

1 Exceeds expectations

2 Meets expectations

3 Below expectations

If the Performance Factor *does not apply* to the individual being appraised, check the box following the factor.

After rating all of the descriptive statements, review and apply an overall rating as described below. Write the rating in the space provided for each Performance Factor. It is also necessary to document in the comment section specific examples/incidents or patterns of performance to support your evaluation rating.

1. Job performance consistently exceeds the established performance measures for the job. Employees at this level demonstrate a sustained mastery of all job elements over an extended period of time.
2. Job performance exceeds all or most of the established performance measures for the job. Employees at this level do more than required on an ongoing basis.
3. Job performance fully meets the established performance measures for the job. Employees at this level consistently do whatever is required. Performance beyond job requirements occurs occasionally.
4. Job performance meets some, but not all, of the established performance measures for the job. Employees at this level have been assigned new duties or are still learning their jobs.
5. Job performance meets some, but not all, of the established performance measures for the job. This employee should be performing at a higher level and future performance must improve.
6. Job performance is well below the established performance measures for the job. There are serious performance problems. Work quality is clearly unsatisfactory and if the employee is to remain employed, the employee must improve in a short period of time to avoid being removed from his/her position.

To determine the employee's Overall Performance Rating, review the Performance Factors and determine the overall Performance Appraisal rating of 1 - 6 as described above. The overall performance rating should be placed on the last page of the appraisal in the space provided. If the employee has received an overall rating of 6 and remains employed, a Performance Improvement Plan is required.

After the form is completed, please sign and submit the form to the next level of management for approval and signature. Once approval signatures are obtained, please return the form to Human Resources for review. Human Resources will then return the form to you for discussion with each of your employees. Once the Performance Appraisal discussions have been completed and the employee has applied his/her signature, return the Performance Appraisal forms to Human Resources for filing.

PERFORMANCE FACTORS

Communication - Expresses ideas in individual and group situations both orally and in writing. Listens objectively and ensures mutual understanding. Adjusts language or terminology for intended audience.	Statement Rating (Circle one)
Oral expression is clear, organized and concise.	1 2 3
Written correspondence is grammatically correct, concise and is easily understood by others.	1 2 3
Understands what is being said, listens to others and rephrases thoughts and ideas to ensure mutual understanding.	1 2 3
Uses appropriate mode of communication for each situation.	1 2 3
Considers and uses appropriate style and language for the target audience.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 - 6	

This performance factor does not apply.

Comments: _____

Quality/Productivity - Work is accurate, thorough and achieves desired outcome. Volume of work meets job standards. Examines and improves work processes. Organizes and balances work assignments.	Statement Rating (Circle one)
Work is free of errors.	1 2 3
Work is researched, detailed and complete.	1 2 3
Volume of work meets job standards.	1 2 3
Assignments meet completion date requirements.	1 2 3
Completes work assignments with minimal supervision.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1- 6	

This performance factor does not apply.

Comments: _____

PERFORMANCE FACTORS

<u>Attendance/Punctuality</u> - Works required number of hours. Effectively plans and manages time when it is necessary to be away during normal work hours.	Statement Rating (Circle one)
Works the required number of hours each day.	1 2 3
Reports for work at the expected start time.	1 2 3
Provides adequate notification when scheduling time off.	1 2 3
Uses discretion when it is necessary to take unplanned time.	1 2 3
Takes the appropriate amount of time when going to lunch and taking breaks.	1 2 3
Arrives promptly for scheduled meetings.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 – 6	

This performance factor does not apply.

Comments: _____

<u>Problem Identification/Solving</u> - Identifies the cause and effect of the problem. Logically analyzes problems to determine appropriate solutions. Evaluates results and takes appropriate and timely action.	Statement Rating (Circle one)
Effectively identifies the cause and effect of the problem.	1 2 3
Obtains, evaluates and documents pertinent information to make sound decisions.	1 2 3
Accepts responsibility for decisions and results.	1 2 3
Recognizes the need to change/improve work processes and recommends effective solutions.	1 2 3
Suggests procedure and process changes to prevent problems from reoccurring.	1 2 3
Makes timely decisions, considering all possible alternatives.	1 2 3
Appropriately reacts to problems in the workplace.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 - 6	

This performance factor does not apply.

Comments: _____

PERFORMANCE FACTORS

<u>Collaboration/Teamwork</u> - Works effectively with peers and others, within and outside the line of formal authority, to accomplish departmental and organizational goals. Provides constructive input to achieve desired results. Places corporate and department objectives before personal goals.	Statement Rating (Circle one) 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3
Works with others to implement processes or to resolve issues.	
Establishes working relationships with peers and other departments to gain their assistance, cooperation and support to accomplish objectives.	
Works as part of a team, contributing to overall group performance.	
Communicates problems effectively and diplomatically to promote team objectives.	
Demonstrates the willingness to place the goals of the group and the organization before individual goals.	
ENTER PERFORMANCE FACTOR RATING 1-6	

This performance factor does not apply.

Comments:

<u>Position Knowledge</u> - Knows, understands and appropriately applies technical skills, methods and processes required for the position. Keeps current with trends and developments in the field.	Statement Rating (Circle one) 1 2 3 1.2.3 1 2 3 1 2 3 1 2 3
Applies knowledge to accomplish stated objectives or resolve problems.	
Keeps current with trends and developments in the field.	
Applies job knowledge by correcting errors, initiating projects and resolving problems with minimal supervision.	
Learns from past experience and uses those insights to effectively handle new situations.	
Demonstrates technical abilities by completing job duties, following procedures and effectively using equipment.	
ENTER PERFORMANCE FACTOR RATING 1 - 6	

This performance factor does not apply.

Comments:

PERFORMANCE FACTORS

Project Management - Establishes goals, priorities and time limits to accomplish project objectives. Completes assignments thoroughly and on schedule. Amends project plans as necessary.	Statement Rating (Circle one)
Ability to effectively manage and prioritize multiple projects.	1 2 3
Completes assignments meeting project objectives.	1 2 3
Develops plans with realistic goals and timetables.	1 2 3
Utilizes appropriate resources to complete projects.	1 2 3
Continually communicates with appropriate department and personnel regarding projects.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 – 6	

This performance factor does not apply.

Comments: _____

Human Relations - The ability to effectively interact with peers and others. The ability to develop and maintain positive relationships.	Statement Rating (Circle one)
Establishes and maintains positive relations with internal and external contacts.	1 2 3
Works harmoniously with others by exercising/act and diplomacy.	1 2 3
Is courteous, respectful and professional when interacting with others.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 – 6	

This performance factor does not apply.

Comments: _____

PERFORMANCE FACTORS

Customer Relations - Makes an effort to listen, understand and anticipate the needs of the customer. Gives high priority to customer satisfaction and timely follow-up.	Statement Rating (Circle one) 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3
Maintains customer satisfaction by meeting expectations.	
Builds and maintains positive customer service relationships.	
Provides relevant information and updates, which are timely.	
Interacts with customers in a polite, friendly and courteous manner.	
Actively listens to assess customer needs.	
ENTER PERFORMANCE FACTOR RATING 1 - 6	

This performance factor does not apply.

Comments:

SPECIAL PROJECTS/ASSIGNMENTS - List any special projects that the employee was assigned that merit special recognition.

ENTER PERFORMANCE FACTOR RATING 1-6

This performance factor does not apply.

OVERALL PERFORMANCE RATING: _____

List Performance Strengths:

List Areas for Growth:

Supervisor's Comments About Performance Discussion:

Employee's Comments About Performance Discussion:

Approvals:

Appraiser's Signature _____ **Date:** _____

Second Level Management Signature: _____ **Date:** _____

Employee's Signature : _____ **Date:** _____

Human Resources: _____ **Date:** _____

**EMPLOYEE PRE-APPRAISAL FEEDBACK
PROFESSIONAL STAFF**

NAME	DEPARTMENT
JOB TITLE	DATE

The Performance Appraisal process is intended to be a benefit to both you and the company. To assist you in preparing for your appraisal and to make it the most beneficial process possible, we want to assure that your viewpoints are considered when you and your supervisor discuss your performance. Completing the Pre-Appraisal Feedback Form and promptly returning it to your supervisor will help make your annual appraisal meeting more productive. If additional space is needed in answering any of the items, please use additional paper and attach it to this form.

KEY ACTIVITIES/PROJECTS

What activities/projects have you performed throughout the year that required substantial amounts of time, planning, coordination, learning, etc.? Please identify each activity/project below and the outcome?

What obstacles have you overcome in the past year to accomplish your performance standards?

Do you need any further assistance to overcome these obstacles?

What additional skills did you obtain to accomplish the key activities/projects?

GOALS AND OBJECTIVES

What new activities would you like to learn in the next year?

What work-related goals would you like to accomplish in the next year?

What are your career objectives for the next 2 to 3 years?

What training, education or experience do you need to prepare you for your career objectives?

ADDITIONAL COMMENTS

Job Description

My current job description reflects my job responsibilities.

Agree

Disagree

I prefer not to complete the Employee Pre-Appraisal Feedback Form and Self Appraisal Form.

Employee's Signature: _____ Date: _____

SELF PERFORMANCE APPRAISAL FORM PROFESSIONAL

Directions: Carefully review your work performance in relation to your current job requirements. The form is broken down into several Performance Factors. After each Performance Factor assign a rating of 1 - 6 as defined below.

1. Job performance consistently exceeds the established performance measures for the job. Employees at this level demonstrate a sustained mastery of all job elements over an extended period of time.
2. Job performance exceeds all or most of the established performance measures for the job. Employees at this level do more than required on an ongoing basis.
3. Job performance fully meets the established performance measures for the job. Employees at this level consistently do whatever is required. Performance beyond job requirements occurs occasionally.
4. Job performance meets some, but not all, of the established performance measures for the job. Employees at this level have been assigned new duties or are still learning their jobs.
5. Job performance meets some, but not all, of the established performance measures for the job. This employee should be performing at a higher level and future performance must improve.
6. Job performance is well below the established performance measures for the job. There are serious performance problems. Work quality is clearly unsatisfactory and if the employee is to remain employed, the employee must improve in a short period of time to avoid being removed from his/her position.

If the Performance Factor *does not apply* to the individual being appraised, check the box following the factor.

After you have rated each Performance Factor, please enter an overall rating that depicts your overall performance on the job. Please submit this form to the person conducting your performance appraisal. These forms will be turned in to Human Resources along with your Performance Appraisal.

Communication - Expresses ideas in individual and group situations both orally and in writing. Listens objectively and ensures mutual understanding. Adjusts language or terminology for intended audience.		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 - 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

Quality/Productivity - Work is accurate, thorough and achieves desired outcome. Volume of work meets job standards. Examines and improves work processes. Organizes and balances work assignments.		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 – 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

Attendance/Punctuality - Works required number of hours. Effectively plans and manages time when it is necessary to be away during normal work hours.		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 – 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

Problem Identification/Solving - Identifies the cause and effect of the problem. Logically analyzes problems to determine appropriate solutions. Evaluates results and takes appropriate and timely action		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 – 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

Collaboration/Teamwork - Works effectively with peers and others, within and outside the line of formal authority, to accomplish departmental and organizational goals. Provides constructive input to achieve desired results. Places corporate and department objectives before personal goals.		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 – 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

Position Knowledge - Knows, understands and appropriately applies technical skills, methods and processes required for the position. Keeps current with trends and developments in the field.		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 – 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

Project Management - Establishes goals, priorities and time limits to accomplish project objectives. Completes assignments thoroughly and on schedule. Amends project plans as necessary.		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 – 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

Human Relations - The ability to effectively interact with peers and others. The ability to develop and maintain positive relationships.		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 – 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

Customer Relations - Makes an effort to listen, understand and anticipate the needs of the customer. Gives high priority to customer satisfaction and timely follow-up.		Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 – 6		1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

SPECIAL PROJECTS/ASSIGNMENTS - List any special projects that the employee was assigned that merit special recognition.		
ENTER PERFORMANCE FACTOR RATING 1 - 6		

This performance factor does not apply.

OVERALL PERFORMANCE RATING: _____

PERFORMANCE APPRAISAL FORM PROFESSIONAL NONEXEMPT

Employee Name: _____

Title: _____ **Department:** _____

Person Conducting Appraisal: _____

Performance Appraisal Period: _____

Directions: Carefully review employee's work performance in relation to their current job requirements. The form is broken down into several Performance Factors which are made up of descriptive statements. After each descriptive statement assign a rating of 1 - 3. Below are the descriptions of the ratings:

1 Exceeds expectations

2 Meets expectations

3 Below expectations

If the Performance Factor *does not apply* to the individual being appraised, check the box following the factor.

After rating all of the descriptive statements, review and apply an overall rating as described below. Write the rating in the space provided for each Performance Factor. It is also necessary to document in the comment section specific examples/incidents or patterns of performance to support your evaluation rating.

1. Job performance consistently exceeds the established performance measures for the job. Employees at this level demonstrate a sustained mastery of all job elements over an extended period of time.
2. Job performance exceeds all or most of the established performance measures for the job. Employees at this level do more than required on an ongoing basis.
3. Job performance fully meets the established performance measures for the job. Employees at this level consistently do whatever is required. Performance beyond job requirements occurs occasionally.
4. Job performance meets some, but not all, of the established performance measures for the job. Employees at this level have been assigned new duties or are still learning their jobs.
5. Job performance meets some, but not all, of the established performance measures for the job. This employee should be performing at a higher level and future performance must improve.
6. Job performance is well below the established performance measures for the job. There are serious performance problems. Their work quality is clearly unsatisfactory and if the employee is to remain employed, the employee must improve in a short period of time to avoid being removed from his/her position.

To determine the employee's Overall Performance Rating, review the Performance Factors and determine the overall Performance Appraisal rating of 1 - 6 as described above. The overall performance rating should be placed on the last page of the appraisal in the space provided. If the employee has received an overall rating of 6 and remains employed, a Performance Improvement Plan is required.

After the form is completed, please sign and submit the form to the next level of management for approval and signature. Once approval signatures are obtained, please return the form to Human Resources for review. Human Resources will then return the form to you for discussion with each of your employees. Once the Performance Appraisal discussions have been completed and the employee has applied his/her signature, return the Performance Appraisal forms to Human Resources for filing.

PERFORMANCE FACTORS

Communication - Ability to express ideas clearly and concisely in written, oral and visual form to individuals and groups as well as internal and external contacts.	Statement Rating (Circle one)
Oral expression is clear, organized and concise.	1 2 3
Written correspondence is grammatically correct, concise and is easily understood by others.	1 2 3
Understands what is being said and listens to others and rephrases thoughts and ideas to ensure mutual understanding.	1 2 3
Uses the appropriate mode of communication for each situation.	1 2 3
Considers and uses the appropriate style and language for the target audience.	1 2 3
Communicates the status of projects and assignments whether behind, ahead or at expected completion dates.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 - 6	

This performance factor does not apply.

Comments: _____

Quality/Productivity - Work is accurate, thorough and achieves desired outcome. Volume of work meets job standards. Examines and improves work responsibilities. Organizes and balances work assignments.	Statement Rating (Circle one)
Work is free of errors.	1 2 3
Work is researched, detailed and complete.	1 2 3
Uses time effectively. Volume of work meets job standards.	1 2 3
Assignments meet completion date requirements.	1 2 3
Balances and organizes multiple assignments.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 – 6	

This performance factor does not apply.

Comments: _____

PERFORMANCE FACTORS

<u>Attendance/Punctuality</u> - Works required number of hours. Effectively plans and manages time when it is necessary to be away during normal work hours.	Statement Rating (Circle one)
Works the required number of hours each day and is available to work overtime if necessary.	1 2 3
Reports for work at the expected start time and remains focused on work duties throughout the day.	1 2 3
Provides adequate notification when scheduling time off.	1 2 3
Uses discretion when it is necessary to take unplanned time.	1 2 3
Takes appropriate amount of time when going to lunch or taking breaks.	1 2 3
Arrives promptly for scheduled meetings.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 – 6	

This performance factor does not apply.

Comments:

<u>Flexibility/Adaptability</u> - Maintains work effectiveness in varying environments and with different tasks, responsibilities and people.	Statement Rating (Circle one)
Performs well under stress or in unusual or unexpected situations.	1 2 3
Acts independently in finding solutions to problems.	1 2 3
Adapts to new tasks or changing work conditions.	1 2 3
Takes responsibility for work schedule including assigned projects and activities.	1 2 3
Builds and maintains positive work relationships.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 - 6	

This performance factor does not apply.

Comments:

PERFORMANCE FACTORS

<u>Collaboration/Teamwork</u> - Works effectively with peers and others, within and outside the line of formal authority, to accomplish departmental and organizational goals. Provides constructive input to achieve desired results. Places corporate and department objectives before personal goals.	Statement Rating (Circle one)
Works with others to implement processes or to resolve issues.	1 2 3
Establishes working relationships with peers and other departments to gain their assistance, cooperation and support to accomplish objectives.	1 2 3
Works as part of a team, contributing to overall group performance.	1 2 3
Communicates problems effectively and diplomatically to promote team objectives.	1 2 3
Demonstrates the willingness to place the goals of the group and the organization before individual goals.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 - 6	

This performance factor does not apply.

Comments: _____

<u>Position Knowledge</u> - Knows, understands and appropriately applies technical skills, methods and processes required for the position. Keeps current with trends and developments in the field.	Statement Rating (Circle one)
Suggests new methods and processes to become more efficient and effective.	1 2 3
Demonstrates an understanding of job duties through performance of job standards.	1 2 3
Applies knowledge to stated objectives or resolve problems.	1 2 3
Requires minimal supervision or direction in the completion of job duties.	1 2 3
ENTER PERFORMANCE FACTOR RATING 1 - 6	

This performance factor does not apply.

Comments: _____

List Performance Strengths:

List Areas for Growth:

Supervisor's Comments About Performance Discussion:

Employee's Comments About Performance Discussion:

Approvals:

Appraiser's Signature _____ Date _____

Second Level Management Signature _____ Date _____

Employee's Signature _____ Date _____

Human Resources _____ Date _____

**EMPLOYEE PRE-APPRAISAL FEEDBACK
PROFESSIONAL NONEXEMPT**

NAME	DEPARTMENT
JOB TITLE	DATE

The Performance Appraisal process is intended to be a benefit to both you and the company. To assist you in preparing for your appraisal and to make it the most beneficial process possible, we want to assure that your viewpoints are considered when you and your supervisor discuss your performance.

Completing the Pre-Appraisal Feedback Form and promptly returning it to your supervisor will help make your annual appraisal meeting more productive. If additional space is needed in answering any of the items, please use additional paper and attach it to this form.

KEY ACTIVITIES/PROJECTS

What activities/projects have you performed throughout the year that required substantial amounts of time, planning, coordination, learning, etc.? Please identify each activity/project below and the outcome?

What obstacles have you overcome in the past year to accomplish your performance standards?

Do you need any further assistance to overcome these obstacles?

What additional skills did you obtain to accomplish the key activities/projects?

GOALS AND OBJECTIVES

What new activities would you like to learn in the next year?

What work-related goals would you like to accomplish in the next year?

What are your career objectives for the next 2 to 3 years?

What training, education or experience do you need to prepare you for your career objectives?

ADDITIONAL COMMENTS

Job Description

My current job description reflects my job responsibilities.

Agree Disagree

I prefer not to complete the Employee Pre-Appraisal Feedback Form and Self Appraisal Form.

Employee's Signature _____ Date: _____

SELF PERFORMANCE APPRAISAL FORM PROFESSIONAL NONEXEMPT

Directions: Carefully review your work performance in relation to your current job requirements. The form is broken down into several Performance Factors. After each Performance Factor assign a rating of 1 - 6 as defined below:

1. Job performance consistently exceeds the established performance measures for the job. Employees at this level demonstrate a sustained mastery of all job elements over an extended period of time.
2. Job performance exceeds all or most of the established performance measures for the job. Employees at this level do more than required on an ongoing basis.
3. Job performance fully meets the established performance measures for the job. Employees at this level consistently do whatever is required. Performance beyond job requirements occurs occasionally.
4. Job performance meets some, but not all, of the established performance measures for the job. Employees at this level have been assigned new duties or are still learning their jobs.
5. Job performance meets some, but not all, of the established performance measures for the job. This employee should be performing at a higher level and future performance must improve.
6. Job performance is well below the established performance measures for the job. There are serious performance problems. Their work quality is clearly unsatisfactory and if the employee is to remain employed, the employee must improve in a short period of time to avoid being removed from his/her position.

If the Performance Factor *does not apply* to the individual being appraised, check the box following the factor.

After you have rated each Performance Factor, please enter an overall rating that depicts your overall performance on the job. Please submit this form to the person conducting your performance appraisal. These forms will be turned in to Human Resources along with your Performance Appraisal.

Communication - Ability to express ideas clearly and concisely in written, oral and visual form to individuals and groups as well as to internal and external contacts.	Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1- 6	1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

PERFORMANCE FACTORS

Quality/Productivity - Work is accurate, thorough and achieves desired outcome. Volume of work meets job standards. Examines and improves work processes. Organizes and balances work assignments.	Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 – 6	1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

Attendance/Punctuality - Works required number of hours. Effectively plans and manages time when it is necessary to be away during normal work hours.	Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 – 6	1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

Flexibility/Adaptability - Maintains work effectiveness in varying environments and with different tasks, responsibility and people.	Statement Rating (Circle one)
ENTER PERFORMANCE FACTOR RATING 1 – 6	1 2 3 4 5 6

This performance factor does not apply.

Comments: _____

PERFORMANCE FACTORS

<u>Collaboration/Teamwork</u> - Works effectively with peers and others, within and outside the line of formal authority, to accomplish departmental and organizational goals. Provides constructive input to achieve desired results. Places corporate and department objectives before personal goals.	ENTER PERFORMANCE FACTOR RATING 1 – 6	Statement Rating (Circle one) 1 2 3 4 5 6
---	--	---

This performance factor does not apply.

Comments: _____

<u>Position Knowledge</u> - Knows, understands and appropriately applies technical skills, methods and processes required for the position. Keeps current with trends and developments in the field.	ENTER PERFORMANCE FACTOR RATING 1 – 6	Statement Rating (Circle one) 1 2 3 4 5 6
---	--	---

This performance factor does not apply.

Comments: _____

OVERALL PERFORMANCE RATING: _____

ADDENDUM B

Sample Performance Management System

This addendum provides part of a performance management system that incorporates important features or components described in this chapter. This system comes from the private sector, in use by an insurance company.

Like the best practices recommended in this chapter, it features a(n):

- Formal performance process planning
- Performance Summary rating section that includes definitions of ratings
- Employee Development Planning format.

ADDENDUM B

PROGRAM SUMMARY

Program Type Performance Planning/MBO and Rating Scales

Industry Insurance

Year Program Adopted 1992

Key Features of Program

Brief Description: The performance of each employee is evaluated vs. pre-established objectives as well as seven standardized performance factors. There are four additional performance factors for supervisory and managerial employees. An overall performance rating is assigned using a five point scale.

Employee Groups Covered: Management (excluding Top Management), Exempt Non Management, Salaried Nonexempt and Hourly Nonexempt.

Number of Employees Covered: 2,000

Frequency of Appraisals: 12 Months

Level of Employee Involvement: High (e.g., employee participates with manager in establishing goals and provides self assessment as part of the appraisal).

Program Effectiveness

This program was considered *moderately elective* in achieving the following objectives:

- Fostering two-way communication between manager and subordinate.
- Improving individual performance through coaching and feedback.

Guidelines and Instructions

PERFORMANCE MANAGEMENT PROCESS

Performance Management Philosophy

The company recognizes that its business growth is directly related to unleashing the creativity and potential of its most valuable resource . . . people. We support an environment where lifelong learning and personal growth are recognized as successful business strategies. The company is committed to ensuring that each individual's experience and progress within the company is accompanied by ongoing open dialogue about job performance and future development. To that end the company uses a comprehensive Performance Management Process (PMP) where managers and their employees work together to plan, manage, and review performance and developmental opportunities. PMP has three cyclical phases:

- ◆ **Performance Planning** - identifying key objectives and goals for the upcoming 12 month period.
- ◆ **Performance Appraisal** - a face-to-face performance review meeting to jointly discuss an employee's performance at the end of the 12-month period.
- ◆ **Development Planning** - an action plan agreed upon by both the employee and manager to maintain performance strengths and develop new skills for the benefit of the employee and the company.

Key to the success of PMP are **progress reviews** - open and frequent dialogues between the employee and manager on performance results held throughout the year.

Many Benefits

PMP offers many benefits for managers and employees alike. Among them are:

- A focus on meaningful performance characteristics;
- Employee participation throughout the process;
- Jointly developed performance expectations and measures;
- Frequency, informal performance feedback and dialogue;
- Less subjectivity in assessing performance;
- Meaningful action plans for employee development; and
- Greater commitment to achieving goals.

The Manager's Role

Successful Managers make the most of PMP by using their coaching skills in gathering information, monitoring, assessing the quality of an employee's work and giving feedback.

They realize the value added to taking the time for planning and communicating with employees. They work with their employees to develop objective and quantifiable performance measures that link individual effort to the achievement of area, development, and company goals.

They make the most of the more participative style of evaluation by giving their employees a chance to rate their own performance and by negotiating resolutions to differences.

The Employee's Role

Working with their manager, employees contribute their experience and knowledge to the development of performance objectives and measures they will be accountable for.

Employees also track their own performance against those objectives and actively participate in performance feedback dialogues.

In an important feature of the company's Performance Management Process employees complete a formal appraisal of their performance for discussion with their managers at performance appraisal time.

The Performance Management and Appraisal Cycle consists of four steps:

- I. Performance Planning (Section I of the PMP Form)** - Prepared jointly by supervisor and employee at the start of the 12-month cycle; continuous throughout the year.
 - A. Determine and prioritize key objectives.
 - B. Develop goals for each objective.
 - C. Establish measures (Not Met, Threshold, Target, Above Target) for each goal.
 - D. Assess and update objectives throughout the 12 month cycle; re-prioritize if necessary.

- II. Progress Reviews** - throughout the cycle.
 - A. Observe and document performance results.
 - B. Offer timely and specific feedback on job performance and document conversations. Give recognition or re-direct performance as appropriate.
 - C. Conduct interim reviews as appropriate.

III. Performance Appraisal (Section II of the PMP Form) - at the end of the 12 month cycle.

- A. Obtain employee's self-appraisal.
- B. Review performance relative to previously agreed upon objectives and goals.
- C. Review and discuss each performance characteristic rating.
- D. Review attendance records.

IV. Development Planning (Section III of PMP Form) - prepared jointly by supervisor and employee within one month following the performance appraisal.

- A. Assess strengths and development needs.
- B. Identify activities to address development needs.
- C. Establish timetables for each activity.

Refer to Step 1 above to begin the Performance Management Process for the next appraisal cycle.

SECTION I

PERFORMANCE PLANNING

Performance Objectives	Performance Goals	Performance Measures	Performance Results (*)			Comments
			NM		TH	
			T		AT	

*NM = Not Met, TH = Threshold, T = Target, AT = Above Target

C. ATTENDANCE HISTORY

Dates of Absences: _____

Total Days Absent: _____

COMMENTS _____

D. PERFORMANCE SUMMARY RATING

Check the box that appropriately reflects the employee's total performance including performance objectives, performance characteristics, attendance and disciplinary activity, if applicable.

Clearly and Consistently Exceeds Expectations

This rating is for superior performance which clearly and consistently exceeds expectations of what is required to effectively achieve performance objectives.

Frequently Exceeds Expectations

This rating is for highly effective and successful performance which consistently meets and frequently exceeds expectations of what is required to effectively achieve performance objectives.

Fully Meets Expectations

This rating is for successful performance that consistently meets all expectations of what is required to effectively achieve performance objectives.

Marginally Meets Expectations

This rating is for performance which does not consistently meet expectations of what is required to effectively achieve performance objectives. Some expectations are met, but not consistently enough to result in fully successful job performance improvement in performance should be observed by the next rating period.

Fails to Meet Expectations

This rating is for performance which clearly falls short of meeting expectations of what is required to effectively achieve performance objectives. This rating indicates a severe performance problem requiring immediate and marked improvement.

SUPERVISOR COMMENTS:

EMPLOYEE COMMENTS:

SECTION III

DEVELOPMENT PLANNING

A. EMPLOYEE STRENGTHS:

B. EMPLOYEE DEVELOPMENT NEEDS:

C. ACTION PLAN TO ADDRESS DEVELOPMENT NEEDS:

ADDENDUM C

Sample Performance Management System

This addendum provides part of a performance management system that incorporates important features or components described in this chapter. This system comes from the private sector, in use by an architectural and engineering consulting firm.

Like the practices recommended in this chapter, it features a(n):

- Behaviorally Anchored Rating Scale
- Individualized objectives and results section
- Position Skill Analysis section
- Areas of Strength and Job Accomplishments form
- Opportunities for Employee Development plan
- Overall Performance Evaluation section
- Section for setting goals and objectives for the next review period

ADDENDUM C

PROGRAM SUMMARY

Program Type	Performance Planning/MBO and Rating Scales
Industry	Architectural and Engineering Consulting
Year Program Adopted	1995

Key Features of Program

Brief Description:	The performance of each employee is evaluated vs. pre-established objectives, seven standardized corporate performance factors, and a series of management competencies (for management employees) or job skills (non-management employees). An overall performance rating is assigned using a five-point scale.
Employee Groups Covered:	Top Management, Management, Exempt Non Management, Salaried Nonexempt and Hourly Nonexempt.
Number of Employees Covered:	250
Frequency of Appraisals:	12 months
Level of Employee Involvement:	High (e.g., employee participates with manager in establishing goals and provides self-assessment as part of the appraisal).

Program Effectiveness

This program was considered *moderately effective* in achieving the following objectives:

- Determining promotions.
- Improving individual performance through coaching and feedback. .
- Determining employee development/training needs.

CUSTOMER FOCUS: Effective with EXTERNAL customers and suppliers. Personal contact with EXTERNAL clients is not necessary to understand and meet the client's needs.

MARGINAL	DEVELOPMENTAL	FULLY COMPETENT	DISTINGUISHED	SUPERIOR
Does not make customer satisfaction their number one priority. Often unresponsive and difficult to deal with from the customers perspective. Client is often displeased as a result of unmet requirements, or poor work quality.	Is focused on understanding and meeting customer requirements and does so the majority of the time. Occasionally, customer requests are not fully met due to a lack of attention to quality, or an, "It's not my responsibility" attitude	Is responsive and focused on customer satisfaction. Continually satisfies EXTERNAL clients by meeting their specifications, thus preventing complaints. If an error is made, it is quickly and effectively resolved.	Is always focused on the customer. Develops customer confidence by anticipating and satisfying unstated needs. Is proactive in problem solving to minimize errors.	Constantly achieves customer delight both inside and outside the firm. Has a widely held reputation for building customer loyalty by continually exceeding their expectations. Always taking steps to dramatically improve customer relations

COMMENTS

INTERNAL BUDGET/SCHEDULE COMPLIANCE: Management of work to be cost effective, within budget and on schedule.

MARGINAL	DEVELOPMENTAL	FULLY COMPETENT	SUPERIOR	DISTINGUISHED
Frequently misses deadlines. Has very little regard for the importance of controlling expenses. Needs to improve time management skills.	Maintains established budgets and schedules most of the time. May let multiple assignments influence quality and timeliness of work. Details slip through the cracks on occasion.	Manages own time and resources effectively. Gives early warning of possible roadblocks that might hamper schedule. Regularly meets interim checkpoints and final deadlines.	Works around obstacles independently and sets an aggressive pace to ensure deadlines are met or exceeded. Is extremely cost conscious and efficient in all assignments.	Continually finding ways to save the company and clients time and money. Proactive management of work schedule allows for contingency planning. Sets and maintains strong control mechanisms.

COMMENTS

FLEXIBILITY: Ability to adapt to change and respond positively to new ideas, changing conditions and revised project requirements.

MARGINAL	DEVELOPMENTAL	FULLY COMPETENT	SUPERIOR	DISTINGUISHED
Resists change. Unable or unwilling to learn new skills, systems or methods. Cannot or will not adjust easily to different responsibilities or conditions.	Is tolerant to new approaches and duties most of the time, but can be skeptical and reluctant on occasion.	Is open minded and willing to try new things. Adjusts well to changes in structure, systems or responsibilities with very little resistance.	Welcomes changes with a "Can and will do" attitude. Adapts very quickly and optimistically to new responsibilities and ideas for improvement.	Appears to thrive on multiple changes in direction or assignment. Is often a catalyst for change and motivator of others for its acceptance. Is completely adaptable

COMMENTS

DEPENDABILITY/COMMITMENT: Demonstrates willingness to expand necessary effort and time to achieve objectives.

MARGINAL	DEVELOPMENTAL	FULLY COMPETENT	SUPERIOR	DISTINGUISHED
Lacks initiative to complete projects without close supervision. May have erratic attendance or constant tardiness problems. Is not a committed team player.	Is a conscientious and reliable member of the firm most of the time. On occasion, may be unreliable in regards to attendance, tardiness or follow through on assignments.	Dedicated to the firm and contributing to its success. Can be counted on to follow through on assignments without constant supervision. Always an enthusiastic team player.	Extremely reliable and consistent. Has gone the extra mile when the job has requested it and can be trusted to complete difficult assignments independently. Self-motivated to contribute his/her very best.	Unwavering commitment to making an exceptional personal and professional contribution to the firm. Has regularly gone so far beyond the call of duty as to be seen as absolutely dependable without reservation.

COMMENTS:

INITIATIVE/LEADERSHIP: Independent exercise of judgment and leadership capacity within limits of authority

MARGINAL	DEVELOPMENTAL	FULLY COMPETENT	SUPERIOR	DISTINGUISHED
Rarely takes initiative to improve situations or take on new responsibilities. Never does more than instructed. Negative or complacent attitude.	Maintains a good attitude, but does not make much of an effort to take the lead on an idea or project. Requires supervision to maintain a high level of productivity.	Takes initiative and personal responsibility for assignments without being asked. Anticipates potential problems or opportunities and does something about them.	Readily seeks additional assignments and responsibility. Is a team leader via example rather than mere direction. Seeks preventative solutions to potential problems.	Inspires productive achievement in others. Has earned impressive level of respect and cooperation from all levels. Is an intelligent risk-taker with extraordinary initiative.

COMMENTS:

ADDITIONAL OVERALL COMMENTS:

EMPLOYEE NAME: _____

EMPLOYEE OBJECTIVES

Goals and objectives for the upcoming year must be developed in order to establish priorities and measurement standards for the next review. These goals and objectives should be developed to enhance personal development and company and business unit plans, systems and work processes. The employee will have an opportunity to outline the actions and results he/she intends to achieve along with specific plans to improve performance and develop additional skills. This information must be submitted to the evaluating manager no later than five days prior to the review meeting. The manager will incorporate this input into objectives that will support business plans and provide professional development for the employee. As business requirements and employee's responsibilities may change during the year, employees should take the initiative to meet with their manager periodically to review the appropriateness of established objectives.

1. OBJECTIVE: _____

RESULT: _____

RATING: _____

2. OBJECTIVE: _____

RESULT: _____

RATING: _____

3. OBJECTIVE: _____

RESULT: _____

RATING: _____

4. OBJECTIVE: _____
- RESULT: _____

- RATING: _____
5. OBJECTIVE: _____
- RESULT: _____

- RATING: _____
6. OBJECTIVE: _____
- RESULT: _____

- RATING: _____
7. OBJECTIVE: _____
- RESULT: _____

- RATING: _____
8. OBJECTIVE: _____
- RESULT: _____

- RATING: _____

Employee's Signature

Manager's Signature

PERFORMANCE MANAGEMENT SYSTEM

Non-Management Employees

EMPLOYEE NAME: _____ HIRE DATE: _____

JOB TITLE: _____ LAST APPRAISAL DATE: _____

BUSINESS UNIT: _____ LAST APPRAISAL RATING: _____

DEPARTMENT: _____ CURRENT APPRAISAL DATE: _____

INSTRUCTIONS TO RATER

OVERVIEW: The purpose of the employee appraisal is to facilitate the extremely important performance planning and review process between the employee and manager. This form is to be used as a development tool and post-appraisal interview guide.

PROCEDURE:

1. Distribute a copy of the EMPLOYEE OBJECTIVES section (last page) to the employee and schedule a meeting date, time and place. (Completed form must be returned by the employee to the evaluating manager no later than five days prior to the meeting).
2. Review the appropriate job description. (If major job changes have occurred with this position, contact Human Resources.)
3. Referencing the job description and established objectives from the last review, evaluate the employee's performance in each of the requested categories.
4. Prior to the review session, incorporate input submitted by the employee into the performance objectives for the upcoming year. This approved development plan should be outlined on a final copy of the EMPLOYEE OBJECTIVES section and modified, if necessary, during the employee evaluation meeting.
5. Review the completed evaluation along with any appropriate salary recommendations with upper management to reconcile any differences so that the net result is a joint evaluation.
6. Conduct the planning and review session with the employee. As this is the most crucial element in the performance review process, special effort should be made to ensure this meeting is productive.
 - Arrange for sufficient, uninterrupted meeting time.
 - Discuss performance objectively by recognizing areas of strength and opportunities for further development.
 - Solicit employee input and participation in the planning process.
7. After you sign and date the review, obtain the employee's comments and signatures.
8. Forward original signed review to Human Resources after giving the employee a copy and retaining one for yourself.

DEFINITION OF PERFORMANCE RATINGS

MARGINAL	DEVELOPMENTAL	FULLY COMPETENT	SUPERIOR	DISTINGUISHED
Results achieved are those nominally expected of an inexperienced newcomer, or of performance that is unacceptable due to a definite weakness in ability or effort. Improvement must be made in order to justify continued employment in this position.	Results indicate performance that is not yet completely meeting requirements of all objectives. Results fall somewhat below expected levels of one or a few accountabilities. Although the need for further development is recognizable progress is clearly evident.	Results indicate performance that is satisfactory and sufficient in every respect. Meets all key standards established for this position in a manner consistent with a well-trained and seasoned performer. No areas of significant weakness in ability or effort are evident.	Results indicate performance that exceeds all competency requirements of this position. Noticeably exceeds the expected results on key accountabilities. Work produced is always of extremely high quality and standards are achieved in a truly exceptional manner.	Results indicate performance that is so clearly outstanding as to be obvious to all and is rarely equaled. Results produced are phenomenal and consistently exceed even the highest of expectations established for this position. This level of extraordinary performance is very uncommon.

PART I GOALS AND OBJECTIVES:

List major pre-determined goals or objectives on which the employee is to be evaluated. When pre-set goals have not yet been established the employee should be evaluated on major projects job duties and special assignments. Indicate the appropriate performance level (reference the performance rating scale on cover page) and substantiate with a brief summary of results. Attach additional pages if necessary.

1. OBJECTIVE: _____
RESULT: _____

RATING: _____

2. OBJECTIVE: _____
RESULT: _____

RATING: _____

3. OBJECTIVE: _____
RESULT: _____

RATING: _____

4. OBJECTIVE: _____
RESULT: _____

RATING: _____

PART III: POSITION SKILL ANALYSIS

List and evaluate other key skills that were not covered in the previous section by utilizing the condensed rating scale below.
(Reference the appropriate job description for a listing of required skills.)

MARGINAL	DEVELOPMENTAL	FULLY COMPETENT	SUPERIOR	DISTINGUISHED
Results reflect performance nominally expected of an inexperienced newcomer, or of an unacceptable level of skill mastery in this area. May also be an issue of lack of effort.	Results indicate a need for further development in this skill area as full competency has not yet been attained, but progress is clearly evident.	Results indicate that performance in this skill area is completely satisfactory and sufficient in every respect.	Results indicate a mastery of the skill that exceeds the competency requirements for this position. May be sought out by others for instruction in this area.	Results indicate extraordinary performance so far in excess of the requirements for this skill as to be dearly obvious to all. This level of skill is very rare.

SKILL: _____ RATING: _____

COMMENTS: _____

PART IV: AREAS OF STRENGTH AND JOB ACCOMPLISHMENTS:

Comment on areas of employee's strengths and include specific examples of outstanding performance during this review period.

COMMENTS:

PART V OPPORTUNITIES FOR EMPLOYEE DEVELOPMENT:

Give specific examples of where and how the employee could increase breadth and depth of experience or acquire new skills within his or her current assignment. Include specific recommendations of actions that should be taken to improve performance. Results of these actions will be considered at the next review.

COMMENTS:

OVERALL PERFORMANCE EVALUATION:

This summary statement should serve as an overview of significant changes, difficulties or contributions occurring during this review period. An overall performance rating should also be selected based on the results of the entire evaluation. (Reference the performance rating scale on the cover page of this review form.)

COMMENTS:

OVERALL PERFORMANCE RATING: _____

(Choose one rating only)

I have discussed this appraisal in detail with the employee:

Evaluating Manager's Signature

This appraisal has been reviewed and discussed with me:

Evaluated Employee's Signature

EMPLOYEE COMMENTS:

Employee's Signature/Date



INTEGRATING COMPETENCIES INTO MONTANA'S HUMAN RESOURCE PROGRAMS

COMPETENCY-BASED STAFFING

INTRODUCTION

An effective competency model links competencies to the agency vision and mission. Applied to staffing functions such as recruitment, selection, and work planning, the model helps ensure agency staff have the competencies needed to accomplish agency goals efficiently and effectively.

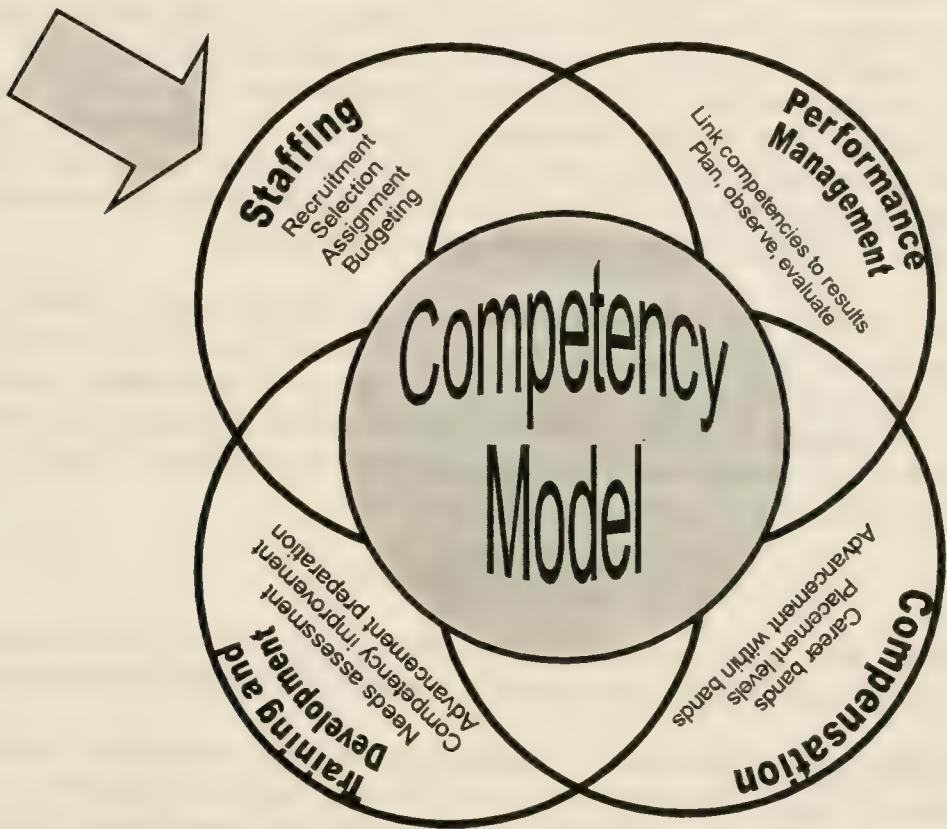


Figure 1: Staffing functions linked to other human resource processes through a competency model.

Generally, building a competency model will identify behaviors agencies can use for recruitment and selection and other staffing applications. Much of the work that identifies factors affecting a work unit, its customers, and output happens while developing the model. This results in powerful recruitment and selection tools grounded in the specific knowledge, skills, and behaviors needed for success.

Information gathered during menuing and theme analysis will help identify the competencies needed for success in each position. Documenting competencies and how they were developed supports the validity of recruitment and selection criteria. Creating competency models defines organizational needs now and in the future. Identifying competencies lacking in current employees helps managers recruit, select and develop employees for future as well as current success. Successful employees, in turn, mean improved output, more efficient work planning and effective use of budgeted resources.

Ideally, position descriptions or job profiles will reflect the competency model developed for the work unit. However, vacancies can occur and organizational needs or direction can change while developing the model. When this happens, a position description or job profile that clearly lists the duties, responsibilities, and behaviors required to perform the job can provide a good starting point for selection planning and recruitment, even if the model is incomplete. Most position descriptions list job duties and responsibilities. Frequently, they list "abilities" along with needed knowledge, education, and experience. This list often can be restated as behaviors to use in identifying likely competencies for a given job. For example, "The ability to communicate in writing and verbally" can be changed to "Communicates clearly in writing and verbally."

Like other human resource processes, staffing requires careful planning. The Recruitment and Selection Guide, available from the State Personnel Division provides information for the process, with or without a completed competency model. The following sections outline the steps involved in developing a selection plan, setting up a recruitment process, and behavioral-based interviewing to select employees when considering competencies.

DEFINITIONS

Position or Job: A defined set of major duties (usually 3 to 5) that require the services of an individual. An example of a position is Personnel Technician.

Job Profile and Evaluation: A streamlined position description format that serves as the core document for all the human resource systems, such as recruitment, selection, performance management, and succession planning. It generally includes the major duties of a job, the competencies required to perform them, and pay band level. Unlike the typical position description, this format includes the evaluation by a trained classifier who assigned the pay band. A current position description can work as well. For the most part the terms can be used interchangeably unless otherwise stated.

Duty or Responsibility: Refers to a major area of work a person performs in a job. Descriptions of duties or responsibilities should give examples of the work. For example, one personnel technician's duty may be to "support recruitment activities by providing general and specific information to applicants and hiring

authorities." Major duties usually occupy more than 20% of total work time; however essential duties that are not performed routinely should be included. For example, lobbying during the legislative session might not take up a large percent of total work time, but can be an essential duty.

SELECTION PLANNING

Hiring the most qualified applicant begins with careful selection planning. The plan lays out the major responsibilities of the job, identifies what is needed to perform the job, and identifies the most effective selection procedures to use. This foundation helps guide the hiring panel through the selection process.

When a job vacancy occurs, managers need two important pieces of information to develop a selection plan. They need to understand: (1) the responsibilities of the vacant position and (2) the competencies an employee needs to be successful in that position as it relates to the overall goals of the work unit. Job analysis provides this information.

Recruitment and selection in a competency-based environment must still meet the requirements of affirmative action and equal employment opportunity. All selection procedures must be:

- Based on job-related information (job analysis).
- Developed by persons familiar with the job (job experts).
- Developed in advance of any review of applicants' qualifications.
- Developed with written criteria for evaluating each applicant's performance.
- Consistently applied.
- Well documented.

Information gathered while developing a competency model helps build a selection plan that meets these requirements. A good selection plan increases the chance of hiring the best applicant for the job. Critical competencies documented by job experts helps show the validity of the selection procedures.

Job Analysis

Developing job-related information requires determining the major duties and responsibilities of the job, their relative importance to the job, and the competencies required in performing them. Job analysis outlines the knowledge, skills, and behavioral competencies an applicant would need to qualify for the position. This essential information helps ensure valid recruitment and selection procedures and provides documentation of the objective criteria used to make the hiring decision. A thorough, accurate job analysis will make it possible to:

- Identify the competencies needed for successful performance.
- Identify the minimum qualifications for the job.
- Communicate job and performance expectations, as well as working conditions, such as shift work, travel, or bargaining unit status.

- List the essential functions of the job needed to comply with the Americans with Disabilities Act.
- Link the job and job-related competencies to the mission of the work unit.
- Write accurate job profiles or descriptions.
- Establish standards to evaluate employee performance.
- Develop work plans.
- Identify training needs.

Job analysis involves gathering information and organizing it in a usable format, such a job profile. Various means of gathering information have advantages and disadvantages. Using more than one technique will help eliminate error and bias. Methods of collecting needed information range from straightforward fact gathering to time-consuming focused interviews. The more straightforward techniques provide easily gathered facts, but may miss important competencies. The interviewing techniques provide more complete lists of competencies held by top performers, but take more resources and may be prone to bias.

METHOD	DESCRIPTION
Review	Analyzing documents such as class standards, job profiles, previous recruitment materials, performance management materials, handbooks, instructions, manuals, forms, etc. that the employee uses on the job.
Observation	Watching employees perform their job, and noting their duties and behaviors.
Interview	Talking to people with knowledge about the job, such as the incumbent, supervisor, and other persons doing similar work or people who have filled these jobs in the past.
Questionnaires	Gathering the required information by asking knowledgeable people to complete a questionnaire. To avoid errors caused by different interpretations of questions, ask the same people to review the completed job analysis and provide feedback.
Behavior Event Interview Critical Incident Technique	Behavior Event or Critical Incident interviews ask people to identify and describe the most critical situations they have encountered on their jobs in terms of the situation, people involved, the interviewee's actions, and the results. Reports of incidents may be collected from supervisors, from employees on the job, or from both groups. These interviews can also identify key competencies that predict success in that job.

Figure 2: Techniques for gathering job information: In order of increasing complexity and time commitment.

The results of menuing, such as shown in Figure 3, can help define the role of each job in providing services and achieving agency goals. Selection planning is a good time to review overall agency goals and objectives. Linking the job to the agency in terms of the competency model helps clarify the duties and tasks that make up the job and the competencies needed to perform them successfully.

CONTEXT (operating environment)	CUSTOMERS (external, internal, co-workers)
<p>This can include such things as:</p> <ul style="list-style-type: none"> • Physical work environment • Social work environment • Economy, budgets and so forth • Legal issues • Workforce • Turnover • Future changes in the organization 	<p>These can include:</p> <ul style="list-style-type: none"> • Co-workers • Management • Local government • Federal agencies (be specific) • Groups (be specific)
OUTPUTS (work products and services)	COMPETENCIES (behavioral and knowledge)
<p>Everything the work unit produces, such as:</p> <ul style="list-style-type: none"> • Advice • Recommendations • Decisions • Reports • Services • Manuals • Shared knowledge 	<p>Examples of competencies:</p> <ul style="list-style-type: none"> -Reports on the facts -Stay focused and produce quality documents amongst chaos -Information is accurate and demonstrates a knowledge of regulations and the ability to research -Knows when communication needs to occur and takes necessary steps -Fills forms out accurately (details to insure federal/state agency compliance) and within established timelines -Identifies whether a person has a communication barrier and communicates with the person in the way the person prefers and responds best

Figure 3: Sample results of a menuing session: Data used to build a competency model and useful in further HR processes..

The second stage of job analysis involves organizing and presenting the information gathered about the job and the agency in a usable format. This includes: (1) describing the major duties or responsibilities, (2) identifying the competencies needed to perform the duties, and (3) determining the minimum qualifications necessary to do the job. The resulting job profile (Addendum A) describes the overall purpose of the position, the work required to fulfill this purpose, and the competencies needed.

Most jobs have more than one major duty and few jobs will have more than five. Figure 4 shows a single duty from a position description or job profile. The job profile should describe the tasks needed to perform each duty. Examples of the work often give a clearer picture of expectations than just a list of tasks.

Duty A:

Assists Hiring Authorities – Must possess detailed knowledge of the recruitment process to provide accurate information to hiring authorities and committee members. Provides information to hiring authorities on the types of recruitment options, such as student employment, short-term workers, temporary, and permanent positions. Gives hiring authorities suggestions on how and where to advertise positions. Answers questions regarding the recruitment process such as:

- How do I initiate recruitment?
- How many reference checks should I do on an applicant and how many committee members should be present for reference checks?
- Can I contact anyone listed on an application for a reference?
- Can only two committee members be present during an interview?
- How many people do I have to interview?

Figure 4: Example of a duty statement that uses both task statements and examples to describe the work of a Personnel Technician.

Identifying Competencies

The job profile also lists the competencies needed to perform the work. Some of these will be specific to the job, while others may be agency wide competencies. Generally, this list describes knowledge, skills, and behaviors needed to perform the work successfully. Referring to the competencies identified during menuing (Figure 3) may be useful for this step.

Competencies required on the first day of the job constitute the minimum qualifications; other competencies may be desirable, but not needed at entry. The selection process should allow agencies to identify and recruit for behavioral competencies as well as knowledge and skills.

Knowledge is the technical or professional information acquired through formal education, training, or personal experience needed to perform the job. A given job may require "knowing about something" or "knowing how to do something." Applicants can obtain the needed knowledge in a variety of ways besides formal education. Usually, it makes more sense to consider the breadth or depth of knowledge needed than the specific means of gaining it.

The following questions about the major duties will clarify the knowledge needed:

- What subject matter does the duty cover?

- Within this subject matter, what facts or principles must the employee understand?
- What is the depth and breadth of knowledge required in each of these areas?

Skill involves the proficient application of knowledge and behavior in completing a job, tasks or duties. Skills describe actual physical or mental activities, such as operating various types of equipment or performing mathematical calculations.

Asking questions such as the following about the major duties in terms of the skills required will clarify these competencies:

- What activities must the employee perform with ease and precision?
- What are the manual skills required to operate machines, vehicles, equipment, or to use tools?
- What mental skills are required to perform the assigned duties?

Behavior is the way a person acts under given circumstances that demonstrates personal and interpersonal characteristics. Behaviors should be described in terms of observable actions used to achieve job-specific results. Behavioral competencies, such as paying attention to detail or working cooperatively with others, help predict success in the job. Managers often intuitively use behavioral competencies in making hiring or promoting decisions without formally incorporating them into these processes. Developing a competency model formalizes this process. The strength in competency modeling lies in providing reliable means for observing and measuring behavioral competencies. This makes it easier to target the behavioral competencies as well as the more easily measured knowledge and skill during the recruitment and selection process.

Asking, "What is the most significant personal or interpersonal behavior that contributes to success in this job?" will help identify behavioral competencies. Depending on the nature of the work, these behavioral competencies might describe the following types of action:

- Keeps current professionally and continually strives to improve ability to apply new knowledge (**Commitment**).
- Writes clearly, logically, effectively, with brevity. Eliminates unnecessary detail (**Communication**).
- Focuses on achieving goals and on bringing projects to closure in a timely manner, despite obstacles (**Initiative and Accountability**).
- Shares job-related facts and data with peers and others. Listens and offers support and advice on job-related problems (**Influence**).
- Teamwork – achieves results by getting a group focused. Encourages participation (**Personal Effectiveness**).

- Goes beyond traditional ways to address issues and problems, establish and maintain effective working relationships (**Thinking and Problem-Solving**).

Identifying Minimum Qualifications

Competencies needed on the first day of employment for acceptable performance are referred to as *needed at entry*. Minimum qualifications describe training, education, and experience required to perform the job on the first day of work. Applicants that lack minimum qualifications will not be able to do the job at a minimally acceptable level.

Not all competencies identified in the competency model or job profile for successful job performance will be needed on the first day of employment. The required minimum qualifications should not include the kinds of experience, education, or training reflecting competencies the employee would normally develop during probation.

Establishing minimum qualifications calls for realistically considering the needs of the job. Minimum qualifications should be specific enough to distinguish between potential candidates, but not so narrow that they rule out any applicant that lacks an ideal background. Unnecessarily restrictive minimum competency requirements may prevent promotion, limit reassignments and mobility, and cause employees to seek opportunities elsewhere. For example, college degrees and rigid experience requirements do not make good minimum qualifications in themselves. A good statement of minimum qualifications allows for alternative means of developing competencies.

Finally, minimum qualifications must be valid and reliable. This means that they must be job-related and consistently applied. Limiting them to observable and measurable knowledge, skills, and behaviors will increase validity and reliability.

Asking the following questions about the major duties will help distinguish between minimum qualifications and desirable competencies:

- Is it essential for newly hired employees to possess this competency? (Consider only essential competencies.)
- How can this competency be evaluated? (Competencies must be measurable to accurately distinguish between applicants.)
- Would more of this competency lead to more effectiveness on the job? (If not, it is a minimum qualification. If more does lead to improved performance, the selection process should evaluate it.)

For example, a word-processing operator may need word-processing skill at entry. Knowledge of a specific type of hardware or software may be a desirable qualification. Desirable qualifications are not minimum standards. They are used to further evaluate applicants who meet the minimum qualifications for the job.

Identifying Selection Procedures

Different competencies may require different selection procedures to evaluate applicants' ability to do the job. A frequently used combination includes supplemental questions, a performance test, interview, and reference and background checks. Referring to the information gathered during the model building process can provide job-related performance or knowledge measures. Regardless of the procedure used, managers must determine which procedure will provide the best assessment of applicants for a given job before any screening of applications to reduce the possibility of discrimination.

Each selection procedure has strengths and weaknesses. The duties and competencies identified for the job will help determine the most useful selection procedures. A competency needed for several major duties might be the focus of more than one selection procedure. The following table (Figure 5) outlines various common selection procedures with their uses, potential pitfalls, and suggestions for using the procedure properly.

TEST	DESCRIPTION	CHARACTERISTICS
Training and Experience evaluation	Looks at education and experience in terms of the job requirements. Used alone, assumptions about education and experience may screen out qualified candidates or cause other problems.	A more complete picture will result if used with supplemental questions. Look for necessary, job-related knowledge or skill competencies, not just years of education or experience.
Supplemental questions	Provide specific guidelines for applicants to describe competencies acquired through education, training and prior experience that relate to job duties.	Use at least two job experts who know the job and understand the needed experience and qualifications to help develop questions and suggested responses.
Written test	Assesses knowledge, skills, or behaviors through written answers to written questions or statements.	Costly and time-consuming to develop. Cultural biases in tests can adversely affect minorities.
Performance test	Asks the applicant to demonstrate a small sample of an actual duty.	These tests closely resemble what an employee does on the job, making them very job related.
Physical test	When the job analysis shows physical tasks are part of the job, a physical test can reflect actual physical needs of the job.	A job may require dexterity, speed, strength, or endurance. Standards must be essential to the job. Reasonable accommodations for physical demands may be necessary.
Work sample	A product of the applicant's efforts to demonstrate competence in a specific area.	Might be required with the application. It might be impossible to verify that the applicant actually did the work.
Interview	Nearly always used, with or without other methods. Another section presents information on interviews.	For consistent, defensible results, the interviewing process should be structured rather than informal.
Background and Reference Checks	Structured and job-related questions are best. Seek objective, verifiable information from past employers.	Getting this information may be difficult, but is worth trying for when possible. Applied consistently for top applicants.

Figure 5: Selection procedures that may be appropriate to screen applicants for specific jobs.

DEVELOPING SELECTION PROCEDURES

Job analysis identifies the major duties and tasks of the job, and the competencies needed to be successful. The second stage of developing a selection plan involves developing specific selection procedures. The employment interview is used in most hiring decisions, and is addressed in a separate section.

Regardless of the selection procedures used, each one should be:

- Based on job-related information (job analysis).
- Developed by persons familiar with the job (job experts).
- Developed before any review of applicants' qualifications.
- Developed with written criteria for evaluating each applicants' performance (suggested responses and rating scales).
- Consistently applied.
- Well documented.

The closer the content and context of the selection procedures are to work samples or work behavior, the stronger the basis for showing the validity of the selection process.

To ensure that selection procedures accurately assess the competencies needed for a job, job experts should evaluate the items. People familiar with the job, such as the incumbent, the direct supervisor and the person next in authority, make the best job experts. Personnel officers or specialists and classifiers can also provide valuable insights. Working together, personnel and job experts can usually identify the best combination of selection procedures for the job.

Before recruiting, managers or review panels need to develop supplemental questions or training and experience evaluations. Other selection procedures, such as interview questions or written tests, may be developed during recruitment. However, those involved in selection must develop all procedures before reviewing any applicant's qualifications.

Each selection procedure needs means of measuring each applicant's qualifications as they relate to the job. Working with job experts, the review panel needs to decide in advance what responses will best demonstrate the required competencies. Some methods include developing numerical scores or a means to group applicants according to the results of selection procedures into **most qualified, qualified, or least qualified** groups. If an applicant adds relevant

information not included in the suggested responses that information may be considered in scoring. An unacceptable score will need a cutoff point, such as failure to make a minimum number of acceptable points, failure to mention critical areas, or making an unacceptable.

A common scale uses a 0 - 5 rating. Another scale uses a (+), (4), (-) system of scoring. The numerical score allows the panel to assign a maximum number of points for each selection procedure, which are totaled to for the whole selection process. Individual overall scores provide one way to compare candidates.

+, 4, -	NUMERICAL SCORE	DESCRIPTION
+	5 – outstanding	Displays superior competency; likely excel in position.
	4 – above adequate	Displays good competency; would perform well in position.
4	3 – adequate	Shows adequate competency in this area; could perform the job.
	2 – inadequate	Displays some competency, but lacking in some areas; would likely have difficulty with the position.
-	1 - ineffective	Displays little competency; could not perform the job.
	0 – none	No competency demonstrated; totally unprepared for the job

Figure 5: Example of a (+, 4, -) rating system and a method of converting to a numerical score, and descriptions of the level of competency demonstrated by the applicant. This type of scale can be used to rate individual selection tools and the results combined for an overall score.

Each procedure or question can be weighted according to its importance in the selection process. In some cases weights may be applied to different selection procedures. Interviewers multiply the scores for these procedures by a weight factor to increase the possible score for those that evaluate a critical area, such as a major duty or an essential competency.

The complete recruitment and selection process may include several procedures for assessing different competencies. These methods generally supplement interviewing. Traditionally, interviews are the foundation of most selection processes. Tests and other procedures can identify knowledge and skills. Specific interviewing techniques can identify behavioral competencies.

Consistent treatment does not mean identical treatment. For example, a phone interview could be used in place of a personal interview. However, the content of the interview, the sequence of questions, the interviewing panel and the time allotted for timed procedures must be consistent.

Documentation of selection procedures as they are developed can save time, money and problems. The "Recruitment and Selection Guide" has detailed information regarding appropriate documentation. In a competency-based environment, documentation should describe how the specific competencies for the job were determined. Again, a completed competency model can affirm the job-related content of the selection procedures.

BEHAVIOR-BASED INTERVIEWING

Behavior-based interviewing helps focus the selection process on the essential competencies needed for success in the job. Behavior-based questions ask applicants to give detailed descriptions of past, important job-related events. The focus on actual events differs from the common interview questions that ask for responses to hypothetical situations.

The way a person behaves under given circumstances reveals personal and interpersonal characteristics. Past behavior is the best predictor of future performance in similar circumstances. These behaviors, such as paying attention to detail, or working cooperatively with others, demonstrate competencies that can be critical to success on the job. Therefore, the interviewer looks for clear evidence that the applicant has demonstrated these competencies in past situations by asking for examples drawn from past experiences.

Traditional Approach Compared to a Behavior Based Approach

Traditional interviews often use situational or hypothetical questions. These questions may begin with, "What do you think you would do if...?" The interviewer describes a situation or problem with the applicant as the central figure; for example, "As a manager, you have a 'problem' employee. How would you deal with that person?" The applicant answers by describing a possible reaction or solution. The answer might not represent the applicant's actual behavior in a similar situation. People often answer such questions by trying to guess what the interviewer wants as the "right answer."

Behavior-based interviews differ from traditional interviewing by focusing on what the applicant has actually done in the past rather than what they think they would do in a certain situation. The interviewer might ask, "Can you describe an experience in which you had to go more than half way to communicate with a 'problem person'?" Behavior-based interviewing relates the job to the applicant's past performance in terms of specific behaviors. Describing examples of past performance can support the applicant's claim that he or she can do the job.

By focusing on actual events and behaviors, the interviewer gets a clear picture of the candidates' competencies. This provides several benefits:

- Differentiates between what people think they should do and what they actually do.
- Focuses on behaviors that demonstrate the competencies most important for job success.
- Efficiently gathers detailed information.
- Provides objectivity through a common language and common criteria for selection.

Using behaviors identified in building the competency model, behavior-based interviewing links organizational and individual competencies to the recruitment and selection process. Behavior-based interviewing determines whether the applicant has the competencies needed for successful job performance.

Blending behavioral-based factors, such as customer service or teamwork, with traditional knowledge-based factors provides essential information for matching the best candidate to the job.

Developing a Behavior-Based Interview

In developing a behavior-based interview, the manager needs to know which competencies the vacant job requires, and to identify the behaviors that reflect successful job performance. The major duties in the job profile will reveal the most important competencies and the needed level of proficiency. Some necessary competencies may not show up in specific duty statements. A manageable, descriptive competency list reflects both the major duties and the overall purpose of the job in the work unit.

Ideally, these competencies will come from the work unit's competency model. The Statewide Competency Model also lists competencies, competency definitions, and behaviors applicable to a variety of state government occupations. It can help identify competencies important to the specific job under consideration, for all employees in a work unit, or for an agency. It is a useful dictionary of competencies, behaviors, and definitions to use in developing competency models.

The final competency list should be a mixture of behavior, knowledge, and skill competencies. In some cases, the same organization-wide behavioral competencies will apply to all employees, such as relationship building, professionalism, or teamwork. Other competencies, such as knowledge and skill competencies, often vary widely depending on the responsibilities and duties of the position. The list of interview questions will probably address a mixture of organizational and job specific competencies.

Selecting and training behavior-based Interviewers

In addition to identifying competencies, the manager needs to identify potential interviewers. The interviewers will assume responsibility for developing and asking individual questions and other aspects of the interview process.

Each interviewer should know and understand of the vacant position. Interviewers often serve as job experts for all areas of selection design. Their experience and knowledge of the job will help at all stages, including job

analysis, vacancy announcements, supplemental questions, interview questions, suggested responses and rating scales.

Interviewers will need time to become familiar with the application materials, forms, questions, and suggested responses before the first interview. They should have instructions regarding rating forms and other documents to ensure consistent understanding of the job and the competencies needed.

Just as structuring the interview around needed competencies provides the best chance of selecting the right applicant, choosing interviewers that display certain competencies will improve the quality of the interview. Important considerations when selecting interviewers include:

- Knowledge of the job.
- Experience in conducting interviews.
- Demonstrated good judgement in past situations:
- Ability to adapt to different situations that may occur in the interview.

Instructions for the interviewers should include:

- How to use rating forms, questions, suggested responses, and any other documents.
- Common interviewer flaws, such as:
 - **Halo Effect**- the tendency to let high performance in one area produce high ratings in other areas whether such ratings are justified or not.
 - **Central Tendency**- the tendency to rate all items at an “average” or “standard” level.
 - **Leniency**- the tendency of the rater to rate people high in all areas to avoid hard feelings.
- The legal aspects involved in the interview that require avoiding certain issues, such as arrest records, religion, or sex discrimination.

Selecting or Developing Interview Questions

The interview panel must ask the same interview questions of all applicants to determine who would be best suited for the job. As job experts, interview panelists have valuable insight into the competencies needed for the job and can suggest relevant questions.

Behavioral interview questions call for responses that interviewers can use to evaluate behaviors that accurately reflect the desired competencies identified in the competency model or job profile. In particular, applicants are asked to provide examples from their past showing a specific time when the behavior was used. Questions should maximize the chances of obtaining information about the critical behaviors identified in a competency model or on the job profile. Appendix B contains lists of behavioral interview questions related to the competencies and behaviors found in the Statewide Competency Model.

Not all interview questions have to be behavior-based. The interview might include knowledge and skill questions as well. Regardless of the type, all applicants respond to the same base questions. Base questions focus on a particular instance from the applicant's past. Probing questions clarify behaviors and the consequences of the behavior. Probing questions may vary, depending on the information included in the initial response. Questioning should give each applicant the opportunity to demonstrate the desired competency. Appendix B provides examples of behavior-based questions, related to the six statewide competencies.

Behavior-based Interview Question for Personnel Technician:

Tell us about the most difficult customer service experience that you have ever had to handle. Be specific and tell what you did and what was the outcome.

Possible probing (follow-up) question:

You said the customer calmed down after you listened to him. Why was that?

Figure 6: Example of behavioral interview questions.

Questions that address or appear to address legally protected areas, such as gender, national origin, disability, or marital and family status, have no place in any interview. Managers will find it easier to defend questions based on knowledge, skills, and behaviors that job experts have suggested are critical to success on the job.

Interview Preparations

Each interviewer selects questions to ask and plans to lead the summary discussion of them before the interviews. All interviewers will also need time to become familiar with the application materials, application forms, questions, and suggested responses.

Mock interviews will help interviewers understand the behavior-based process and prepare them to look for the behaviors necessary to demonstrate the required competencies.

Planning should include choosing a location that will help reduce discomfort for the applicants and allow everyone to concentrate on job related behaviors. The facility should be, at a minimum, mobility accessible. This would include parking, entrances, restrooms, and the interview room.

Conducting the Interview

To get the best response to questions, applicants should be given ten to twenty minutes before the interview to read through the questions and make notes in a quiet spot. This gives them a chance to consider how past behaviors apply to the question and makes it more likely they will give their best responses to the questions. A brief verbal or written statement should tell applicants to be very specific about what they did, said, and thought in the past situations.

Creating a friendly atmosphere humanizes the interview and can make an important difference in an interview and in the applicant's view of the position and department. Rapport-building questions and friendly comments help reduce tension. Careful explanation of the interview process will focus panel and applicant on relevant behaviors.

Before starting the questions, one of the panelists should explain the process and give a brief description of the position and agency. Important information may include:

- Major duties
- Travel required
- Benefits available
- Behaviors required and desirable
- Special knowledge required
- Working conditions
- Career path, if any

All applicants should understand the interview process and the purpose of behavioral questions. The explanation should include:

- Time frame for the interview.
- How the panel will conduct the interview.
- That the panelists are paying attention to the responses even though they might not look at the candidate, as they will take notes during the interview.
- The focus of behavioral questions on past situations or actions revealed actual stories of important past job events.
- That the panel might ask follow-up questions to get at specifics.

- That a panel member will summarize the responses at the end of each question to give the applicant a chance to add or correct information.

Interviewers pose the base questions they chose before the interviews. These questions should be identical, though probing questions to gather more information or clarify response may differ among candidates. Any panel member may ask probing questions. The panelist who posed the base question should summarize the response to give the applicant a chance to expand, clarify, or correct the information. Each panel member should have base questions to ask and summarize.

Taking Notes

During the interview, the panelists will need to take extensive notes on the applicant's answers. The notes should accurately summarize what the applicant said or did in the situation described. Effective note taking helps document the hiring decision. The notes do not need to be verbatim; they may include behavioral observations as well. All notes will become part of the selection file.

The acronym **STAR** can help panelists remember what information to look for and write down.

S...Situation
T...Thoughts
A...Action Taken
R...Results

Situation: The applicant's response and the interviewers' notes should clearly describe the situation given in the answer. Possibilities include situations that occurred at work, in a classroom, in private life, or as a volunteer.

Thoughts: The response should describe the candidate's thoughts at the time. Later, in comparing candidates, the thought process might give additional clues to the presence or absence of some of the more subtle behaviors. For example, the behavior "Pays attention to detail" may not be readily observed, but will be revealed in thought processes that include considering the details of given situations.

Action: Applicants usually have the easiest time describing the actions they took. Panelists' notes should clearly summarize action taken, as well as the responsibility level of the applicant any decision making that took place.

Results: The results of the described actions help determine the success of the candidate. They may also show whether learning took place through the success or failure of the action to resolve the situation. A lack of success should

not always be evaluated negatively. Past behavior may show what an applicant has learned and applied in subsequent situations.

Besides the responses to interview questions, the panelists should observe and note behaviors during the interview. The interview reveals a wealth of verbal and non-verbal behavior that will help predict future behavior. Descriptions of past behavior, as well as interview behavior, are useful in evaluating the selected competencies. Interviewers need to be objective and clear when documenting applicants' behavior in the interview. A set of criteria for rating such behavior is important.

Closing the Interview

Once the questions are finished, one of the panelists should explain to the applicant how the panel will proceed, how long the process will take, and how applicants will be notified of the selection results. The applicants should have an opportunity to ask any questions they might have about the agency or job.

After the interview

Panel members should individually compare the applicant's responses the suggested responses or criteria. Then members should compare their evaluations, discuss them and reach a consensus.

Panel members should compare applicants to each other only after all the interviews are done.

Use Reliable Behavior

Carefully adhering to behavior-based interviewing techniques will generate objective, reliable information. Using this system, different interviewers will agree closely in their evaluations of applicants.

Evaluating individual behaviors will show which behaviors are strongest, which are weakest. If these strengths and weaknesses correspond to the demands of the work the applicant will most likely succeed in that job.

OTHER STAFFING FUNCTIONS

As noted in the introduction, recruitment and selection are not the only staffing functions enhanced through competency modeling. Managers can effectively manage staff budgets, make effective and efficient work assignments, and deal with change using the processes and information developed along with the competency model. Competency-based selection has been shown to improve performance and has led to improved retention of top performers.

Creating a competency model for selection and development can help define the agency's future. Building a competency model presents a clear picture of the behaviors, skills and knowledges a changing organization will need to succeed in the future. Selection processes then look for people who will bring with them the competencies needed to help the agency achieve its mission and goals.

ADDENDUM A

Job Profile format. An electronic version is available on the State Personnel Division web site or from Division staff.



STATE OF MONTANA JOB PROFILE AND EVALUATION

The job profile is a streamlined position description and may serve as the core document for all human resource functions such as recruitment, selection, performance management and career and succession planning. It was developed, initially, for use in classifying positions in Pay Plan 020.

If you are converting a position to Pay Plan 020 and the position has not changed simply cut and paste the information needed from the current position description. The position description contains sections that are no longer used to classify the position, such as: Working Conditions and Physical Demands; Management and Supervision of Others; Supervision Received; Scope and Effect; and Personal Contacts. These may still be important to the position and may be included in Section IV – Other Important Job Information.

When working with a new position, classification request or change to a position in Pay Plan 020, complete the information below to provide the required documentation for classification.

SECTION I – Identification

Working Title		Job Code Number	Job Code Title
Pay Band	Position Number		<input type="checkbox"/> FLSA Exempt <input type="checkbox"/> FLSA Non-Exempt
Department			Division and Bureau
Section and Unit			Work Address and Phone
Profile Produced By		Work Phone	

Work Unit Mission Statement or Functional Description - This section should include a complete statement of the mission or function as it relates to the work unit.

Describe the Job's Overall Purpose:

SECTION II - Major Duties or Responsibilities	% of Time
<p>This section should be a clear concise statement of the position's duties. Well written thorough task duty statements are required here to accurately evaluate the position.</p>	
<p>1. What are the major duties or responsibilities assigned to this position? Group duties in order of importance and estimate the percent of time needed to perform each duty. NOTE: Because you are identifying major duties usually 3-5, the quantity of time probably will not be less than 20%. If a duty is essential but not performed routinely you should list it. For example, lobbying during the legislative session may not take up a large percent of total work time, but can be an essential duty.</p>	
<p>2. Give specific examples of the types of problems solved, decisions made or procedures followed when performing the most frequent duties.</p>	
<p>3. What do you consider the most complicated part of the job?</p>	
<p>4. What guidelines, manuals or written established procedures are available to the incumbent?</p>	
<p>5. If this position supervises other positions, complete the following information.</p> <p>The number of employees supervised is .</p> <p>List the complexity level of the subordinates .</p> <p>Please list the Position Number for those supervised .</p> <p>Is this position responsible for:</p>	
<p><input type="checkbox"/> Hiring <input type="checkbox"/> Firing <input type="checkbox"/> Performance Management <input type="checkbox"/> Promotions</p> <p><input type="checkbox"/> Supervision <input type="checkbox"/> Discipline <input type="checkbox"/> Pay Level <input type="checkbox"/> Other:</p>	
<p>6. Please attach an Organizational Chart (optional).</p>	

SECTION III - Minimum Qualifications - List the minimum requirements for **first day** of work.

Please list the main knowledge and skill areas required for the job:

What behaviors are required to perform the duties? **NOTE:** Identifying behaviors used for recruitment and selection and other HR functions are part of building a competency model (see **Creating Competency Models** in Guide). A position description will provide helpful information if a model has not been developed. Often "abilities" from the current PD can be stated as desired and observable behaviors. For example, "the ability to communicate clearly in writing" can be restated "writes clearly and concisely".

Education and experience: Please check the one box that indicates the **minimum** educational requirements for this job, as it relates to a new employee on the **first day** of work (not the educational background of the person now in the position):

- | | |
|--|---|
| <input type="checkbox"/> No education required | <input type="checkbox"/> 2 year job-related college or vocational training |
| <input type="checkbox"/> High school diploma or equivalent | <input type="checkbox"/> College degree (Bachelor's) |
| <input type="checkbox"/> 1 year job-related college or vocational training | <input type="checkbox"/> Post-graduate degree or equivalent (e.g. Master's, JD) |

There may be a variety of fields of study that are acceptable. A Human Resource Specialist may have a Bachelor's in Human Resources, Business Administration, Public Administration or another related field. Please specify the acceptable fields of study:

Other education, training (software), certification (CPA), or licensing (pilot, psychologist) required (please specify):

Please check the one box that indicates the minimum amount of job-related work experience needed as a new employee on the first day of work (not the experience of the person now in the position):

- | | |
|--|---|
| <input type="checkbox"/> No prior work experience required | <input type="checkbox"/> 3 to 4 years job-related work experience |
| <input type="checkbox"/> 1 to 2 years of job-related work experience | <input type="checkbox"/> 5 or more years of job-related work experience |

Specific experience (optional):

This agency will accept alternative methods of obtaining necessary qualifications.

For recruiting purposes please list examples of acceptable alternative methods of obtaining those qualifications. **These examples should appear on a vacancy announcement.**

SECTION IV – Other Important Job Information

List any other important information associated with this position, such as working conditions, supervision provided or received, scope and effect and personal contact.

SECTION V – Signatures

My signature below (typed or hand written) indicates the statements in Section I to IV are accurate and complete.

Employee:

Signature	Title	Date
------------------	--------------	-------------

Immediate Supervisor:

Signature	Title	Date
------------------	--------------	-------------

Administrative Review:

Signature	Title	Date
------------------	--------------	-------------

JOB EVALUATION FORM

This section is to be completed by a trained classifier in the agency or by State Personnel Division.

Prepared By

Date

Position Status: Reclassified Vacant New Position

Choice of Class Series:

Position Summary:

Benchmark Factoring

Classification Factor Level:

The predominant work of this position consists of:

Factor level Comparison:

Benchmark Comparisons:

Classifier Signature

Title

Date

Upon completion of this section the classifier should make certain that the Job Code Number, Job Code Title and Pay Band on the first page of this document accurately reflect the Choice of Class Series and classification factor level determined above. Attach Organizational Chart, Audit Notes or other pertinent information.

This completed document should now be filed in: I:\Classref\Agencyjp\agency#\filename).
File naming convention is: (position#)jp(date).doc (e.g. 000573jp0100.doc, where date is: month year).



STATE OF MONTANA JOB PROFILE AND EVALUATION

The job profile is a streamlined position description and may serve as the core document for all human resource functions such as recruitment, selection, performance management and career and succession planning. It was developed, initially, for use in classifying positions in Pay Plan 020.

If you are converting a position to Pay Plan 020 and the position has not changed simply cut and paste the information needed from the current position description. The position description contains sections that are no longer used to classify the position, such as: Working Conditions and Physical Demands; Management and Supervision of Others; Supervision Received; Scope and Effect; and Personal Contacts. These may still be important to the position and may be included in Section IV – Other Important Job Information.

When working with a new position, classification request or change to a position in Pay Plan 020, complete the information below to provide the required documentation for classification.

SECTION I – Identification

Working Title		Job Code Number	Job Code Title
Pay Band	Position Number		<input type="checkbox"/> FLSA Exempt <input type="checkbox"/> FLSA Non-Exempt
Department		Division and Bureau	
Section and Unit		Work Address and Phone	

Profile Produced By **Work Phone**

Work Unit Mission Statement or Functional Description - This section should include a complete statement of the mission or function as it relates to the work unit.

Describe the Job's Overall Purpose:

SECTION II - Major Duties or Responsibilities	% of Time
<p>This section should be a clear concise statement of the position's duties. Well written thorough task duty statements are required here to accurately evaluate the position.</p> <p>5. What are the major duties or responsibilities assigned to this position? Group duties in order of importance and estimate the percent of time needed to perform each duty. NOTE: Because you are identifying major duties usually 3-5, the quantity of time probably will not be less than 20%. If a duty is essential but not performed routinely you should list it. For example, lobbying during the legislative session may not take up a large percent of total work time, but can be an essential duty.</p>	
<p>6. Give specific examples of the types of problems solved, decisions made or procedures followed when performing the most frequent duties.</p>	
<p>7. What do you consider the most complicated part of the job?</p>	
<p>8. What guidelines, manuals or written established procedures are available to the incumbent?</p>	
<p>5. If this position supervises other positions, complete the following information.</p>	
<p>The number of employees supervised is .</p>	
<p>List the complexity level of the subordinates .</p>	
<p>Please list the Position Number for those supervised .</p>	
<p>Is this position responsible for:</p>	
<p><input type="checkbox"/> Hiring <input type="checkbox"/> Firing <input type="checkbox"/> Performance Management <input type="checkbox"/> Promotions</p>	
<p><input type="checkbox"/> Supervision <input type="checkbox"/> Discipline <input type="checkbox"/> Pay Level <input type="checkbox"/> Other:</p>	
<p>6. Please attach an Organizational Chart (optional).</p>	

SECTION III - Minimum Qualifications - List the minimum requirements for **first day** of work.

Please list the main knowledge and skill areas required for the job:

What behaviors are required to perform the duties? NOTE: Identifying behaviors used for recruitment and selection and other HR functions are part of building a competency model (see **Creating Competency Models** in Guide). A position description will provide helpful information if a model has not been developed. Often "abilities" from the current PD can be stated as desired and observable behaviors. For example, "the ability to communicate clearly in writing" can be restated "writes clearly and concisely".

Education and experience: Please check the one box that indicates the **minimum** educational requirements for this job, as it relates to a new employee on the **first day** of work (not the educational background of the person now in the position):

- | | |
|--|---|
| <input type="checkbox"/> No education required | <input type="checkbox"/> 2 year job-related college or vocational training |
| <input type="checkbox"/> High school diploma or equivalent | <input type="checkbox"/> College degree (Bachelor's) |
| <input type="checkbox"/> 1 year job-related college or vocational training | <input type="checkbox"/> Post-graduate degree or equivalent (e.g. Master's, JD) |

There may be a variety of fields of study that are acceptable. A Human Resource Specialist may have a Bachelor's in Human Resources, Business Administration, Public Administration or another related field. Please specify the acceptable fields of study:

Other education, training (software), certification (CPA), or licensing (pilot, psychologist) required (please specify):

Please check the one box that indicates the minimum amount of job-related work experience needed as a new employee on the first day of work (not the experience of the person now in the position):

- | | |
|--|---|
| <input type="checkbox"/> No prior work experience required | <input type="checkbox"/> 3 to 4 years job-related work experience |
| <input type="checkbox"/> 1 to 2 years of job-related work experience | <input type="checkbox"/> 5 or more years of job-related work experience |

Specific experience (optional):

This agency will accept alternative methods of obtaining necessary qualifications.

For recruiting purposes please list examples of acceptable alternative methods of obtaining those qualifications. **These examples should appear on a vacancy announcement.**

SECTION IV – Other Important Job Information

List any other important information associated with this position, such as working conditions, supervision provided or received, scope and effect and personal contact.

SECTION V – Signatures

My signature below (typed or hand written) indicates the statements in Section I to IV are accurate and complete.

Employee:

Signature	Title	Date
------------------	--------------	-------------

Immediate Supervisor:

Signature	Title	Date
------------------	--------------	-------------

Administrative Review:

Signature	Title	Date
------------------	--------------	-------------

JOB EVALUATION FORM

This section is to be completed by a trained classifier in the agency or by State Personnel Division.

Prepared By

Date

Position Status: Reclassified Vacant New Position

Choice of Class Series:

Position Summary:

Benchmark Factoring

Classification Factor Level:

The predominant work of this position consists of:

Factor level Comparison:

Benchmark Comparisons:

Classifier Signature

Title

Date

Upon completion of this section the classifier should make certain that the Job Code Number, Job Code Title and Pay Band on the first page of this document accurately reflect the Choice of Class Series and classification factor level determined above. Attach Organizational Chart, Audit Notes or other pertinent information.

This completed document should now be filed in: I:\Classref\Agencyjp\agency#\filename). File naming convention is: (position#)jp(date).doc (e.g. 000573jp0100.doc, where date is: month year).



STATE OF MONTANA JOB PROFILE AND EVALUATION

The job profile is a streamlined position description and may serve as the core document for all human resource functions such as recruitment, selection, performance management and career and succession planning. It was developed, initially, for use in classifying positions in Pay Plan 020.

If you are converting a position to Pay Plan 020 and the position has not changed simply cut and paste the information needed from the current position description. The position description contains sections that are no longer used to classify the position, such as: Working Conditions and Physical Demands; Management and Supervision of Others; Supervision Received; Scope and Effect; and Personal Contacts. These may still be important to the position and may be included in Section IV – Other Important Job Information.

When working with a new position, classification request or change to a position in Pay Plan 020, complete the information below to provide the required documentation for classification.

SECTION I – Identification

Working Title Human Resource Technician	Job Code Number 166553	Job Code Title Human Resource Technician
Pay Band 3	Position Number 77777	<input type="checkbox"/> FLSA Exempt <input checked="" type="checkbox"/> FLSA Non-Exempt
Department Department of Case In Point		Division and Bureau Management Services Division Human Resource Bureau
Section and Unit Example Section		Work Address and Phone Department of Case In Point State of Montana Street Address or Box Number City, State Zip Code 444-xxxx
Profile Produced By John Illustration, Human Resource Manager		Work Phone 444-xxxx

Work Unit Mission Statement or Functional Description - This section should include a complete statement of the mission or function as it relates to the work unit.

Personnel and Payroll Services provides a variety of human resource management programs including: recruitment and selection, development, implementation, and interpretation of personnel policy, position classification and pay administration, labor relations, and EEO/affirmative action compliance, operation and management of payroll and benefits, and other projects as needed.

The unit answers questions regarding benefits that include health, life, dental and vision insurance, flexible spending accounts, a sick leave fund, employee incentive awards and health promotion and acts as the agency authority regarding policies and procedures. The unit also operates the agency HR/Payroll system to provide biweekly payroll for all non-university system state employees., job classification and pay administration, EEO/Affirmative Action compliance. P&PS uses SABHRS to administer, process, distribute, report and account for payroll, benefits, and associated withholding and deductions.

Describe the Job's Overall Purpose:

This position provides clerical, technical, and administrative support to all of the above areas. Position acts as general office manager, serves in an Administrative support role for the Director and Assistant Director, serves in a Personnel Technician role to the Recruitment Specialist, Employee Relations Specialist, and the Classification Analyst. Incumbent prepares and processes all necessary paperwork for departmental personnel appointments, lead worker supervision over receptionist position, supervises work-study employees, and manages the departmental operations budget/account and the advertising/recruitment budget/account. Position responds to a wide variety of inquiries related to both personnel and payroll issues. This position relies on instructions and pre-established guidelines to perform the functions of the job.

SECTION II - Major Duties or Responsibilities	% of Time
This section should be a clear concise statement of the position's duties. Well written thorough task duty statements are required here to accurately evaluate the position.	
9. What are the major duties or responsibilities assigned to this position? Group duties in order of importance and estimate the percent of time needed to perform each duty. NOTE: Because you are identifying major duties usually 3-5, the quantity of time probably will not be less than 20% . If a duty is essential but not performed routinely you should list it. For example, lobbying during the legislative session may not take up a large percent of total work time, but can be an essential duty.	
<i>Recruitment Support:</i> Provides general and specific information to applicants and hiring authorities. Must possess strong independent judgment and communication skills to tactfully and diplomatically respond, at all times, to a wide range of questions regarding the application and recruitment process. Designs and revises recruitment forms and processes, provides input to Personnel Specialist on process inefficiencies and acts as a back up to the Recruitment Personnel Specialist. When background checks are necessary on an applicant, incumbent contacts agencies in the appropriate state(s) to determine necessary information. Responsible for gathering necessary information, documents, etc., in a timely manner and submitting to the proper agency to process the request.	40%
<i>Provides Assistance to Hiring Authorities:</i> Must possess detailed knowledge of the recruitment process to provide accurate information to hiring authorities and committee members. Provides information to hiring authorities on the types of recruitment options, such as student employment, short term workers, temporary,	20%

and permanent positions. Gives hiring authorities suggestions on how and where to advertise positions. Answers questions regarding the recruitment process. Discusses and reviews interview candidates with hiring authorities for any potential problems with candidates. In absence of the Recruitment Personnel Specialist, provides hiring approval to the hiring authority. Must consider comparison of qualifications, reference checks, committee agreement, union seniority and veteran's preference.

Office administration: Acts as assistant office manager; provides administrative support to the Director; manages workflow of receptionist; manages departmental operations account and budget; proficient in word processing; responsible for timely and accurate mail distribution. Acts as back-up receptionist.

30%

Employee relations: Responds to general inquiries regarding disciplinary problems, grievance, supervisor/employee concerns, personnel policy and collective bargaining agreement interpretation and administration, employee benefits, policy and procedure.

10%

10. Give specific examples of the types of problems solved, decisions made or procedures followed when performing the most frequent duties.

Answers questions regarding the recruitment process such as: How do I initiate recruitment? How many reference checks should I do on an applicant and how many committee members should be present for reference checks? Can I contact anyone listed on an application for a reference? Can only two committee members be present during an interview? How many people do I have to interview?

Answer questions regarding the recruitment process such as: How do I initiate a recruitment; how many reference checks should I do on an applicant and how many committee members should be present for reference checks; can I contact anyone listed on an application for a reference; can only two committee members be present during an interview; and how many people do I have to interview? Discuss and review interview candidates with hiring authorities for any potential problems with candidates.

Explains the classification review process and provides employees with the necessary documents and information.

Answer questions regarding the state pay plan, position upgrades, and classification. Questions include: "I want to hire a temp hourly employee - how much do I need to pay them?" "How can I get my position upgraded?" "I want to create a new position. What is the process to get it classified and posted?" Explain the classification review process and provide employees with the necessary documents and information. Upon receipt of position descriptions, prepare memos to both the employee and supervisors explaining the process.

11. What do you consider the most complicated part of the job?

Responding to questions regarding the recruitment process--includes knowledge of personnel policies and procedures, recruitment and selection laws, regulations and rules of state and Federal laws.

12. What guidelines, manuals or written established procedures are available to the incumbent?

State of Montana Recruitment and Selection Manual; Montana Operational Manual (MOM)
Volume III Personnel Policies and Procedures; (agency) standard operating procedure.

5. If this position supervises other positions, complete the following information.

The number of employees supervised is 1.

List the complexity level of the subordinates 1.

Please list the Position Number for those supervised 77776.

Is this position responsible for:

- Hiring Firing Performance Management Promotions
 Supervision Discipline Pay Level Other: training;
schedules workload; recommendations for performance appraisal.

6. Please attach an Organizational Chart (optional).

SECTION III - Minimum Qualifications - List the minimum requirements for first day of work.

Please list the main knowledge and skill areas required for the job:

Requires detailed knowledge of agency personnel policies and procedures and specific knowledge of recruitment and classification policies; skill in operating computer equipment and various software packages (Word, Excel, Outlook, PeopleSoft).

What behaviors are required to perform the duties? NOTE: Identifying behaviors used for recruitment and selection and other HR functions are part of building a competency model (see **Creating Competency Models** in Guide). A position description will provide helpful information if a model has not been developed. Often "abilities" from the current PD can be stated as desired and observable behaviors. For example, "the ability to communicate clearly in writing" can be restated "writes clearly and concisely".

Strong customer service orientation:

- Develops in-depth understanding of the customer's needs in order to be more helpful
- Proactively informs and resolves problem/issues with customers
- Follows up to make sure that the customer's expectations have been met.

Communicates effectively verbally and in writing:

- strong independent judgment;
- the ability to work effectively with confidential information;
- establishes and maintains effective working relationships.

Education and experience: Please check the one box that indicates the minimum educational requirements for this job, as it relates to a new employee on the **first day** of work (not the educational background of the person now in the position):

- | | |
|--|---|
| <input type="checkbox"/> No education required | <input checked="" type="checkbox"/> 2 year job-related college or vocational training |
| <input type="checkbox"/> High school diploma or equivalent | <input type="checkbox"/> College degree (Bachelor's) |
| <input type="checkbox"/> 1 year job-related college or vocational training | <input type="checkbox"/> Post-graduate degree or equivalent (e.g. Master's, JD) |

There may be a variety of fields of study that are acceptable. A Human Resource Specialist may have a Bachelor's in Human Resources, Business Administration, Public Administration or another related field. Please specify the acceptable fields of study:

Human resources; customer service/public relations, organizational development.

Other education, training (software), certification (CPA), or licensing (pilot, psychologist) required (please specify):

Computer skills – Excel, Word, Power Point, Outlook, PeopleSoft

Please check the one box that indicates the minimum amount of job-related work experience needed as a new employee on the first day of work (not the experience of the person now in the position):

- | | |
|---|---|
| <input type="checkbox"/> No prior work experience required | <input type="checkbox"/> 3 to 4 years job-related work experience |
| <input checked="" type="checkbox"/> 1 to 2 years of job-related work experience | <input type="checkbox"/> 5 or more years of job-related work experience |

Specific experience (optional):

- This agency will accept alternative methods of obtaining necessary qualifications.

For recruiting purposes please list examples of acceptable alternative methods of obtaining those qualifications. **These examples should appear on a vacancy announcement.**

Vocational training; post secondary coursework; experience in related field.

SECTION IV – Other Important Job Information

List any other important information associated with this position, such as working conditions, supervision provided or received, scope and effect and personal contact.

Position may involve recruitment activities that would require a change and re-organization of work schedules, occasional travel, and lifting boxes (less than 20#) of information and supplies. (*Working Conditions*) The Director, Assistant Director, or Personnel Specialists may assign special projects at any time. Position will be expected to use own judgment in prioritizing and completing tasks in a timely manner. (*Supervision Received*) Contacts include a wide variety of individuals both on and off campus and may include contact with distressed applicants or applicants who have difficulty understanding information. (*Personal Contacts*)

SECTION V – Signatures

My signature below (typed or hand written) indicates the statements in Section I to IV are accurate and complete.

Employee:

Vacant at this time	Human Resource Technician	
Signature	Title	Date

Immediate Supervisor:

John Illustration	Human Resource Manager	07-07-2007
Signature	Title	Date

Administrative Review:

Sarah Example	Bureau Chief	07-07-2007
Signature	Title	Date

JOB EVALUATION FORM

This section is to be completed by a trained classifier in the agency or by State Personnel Division.

Prepared By John Illustration

Date 07-07-2007

Position Status: Reclassified Vacant New Position

Choice of Class Series: Human Resource Series - Positions within this series perform duties ranging from routine and non-routine technical to paraprofessional, and typically apply standardized rules to a variety of procedures. Positions are located in a human resources or centralized services operation. They support recruitment and selection activities by screening applications, interviewing applicants, and reviewing hiring documentation for compliance; provide training and orientation; perform job audits, class specification reviews, and related classification duties; perform various administrative activities; establish routine work methods and procedures; maintain records; and may exercise supervisory responsibilities over other personnel. At some levels, standards are explicit and judgment may be required to interpret variables. At other levels, standards are multifaceted, tasks may be more diverse, and judgment involves interpretation of numerous variables. Preparation for work in this series involves high school graduation, post secondary education, and experience ranging from one to four years.

Position Summary:

This position provides clerical, technical, and administrative support to Personnel and Payroll Services. This involves responding to a wide range of questions regarding the application and recruitment process. Acts as a back-up to the recruitment personnel specialist. Responsible for gathering necessary information in a timely manner and submitting to the proper agency to process the request. Other work involves providing information to hiring authorities, such as types of recruitment options, (student employment, temporary hourly, fixed term, and permanent positions) provide suggestions on how and where to advertise positions. Must be able to answer questions relating to all aspects of the hiring and interviewing process. Incumbent responds to applicant inquiries and questions, provides appropriate job application materials, and status of position. Other duties and tasks include administrative duties such as back-up receptionist, which includes answering questions and inquiries about payroll, filling out applications, benefits and insurance and referrals to appropriate resources (internal and external) for unusual requests, classification support (to both employee and employer), employee relation support and designing or revising recruitment forms and processes.

Benchmark Factoring

Classification Factor Level: 3

The predominant work of this position consists of: The predominant portions of the work is providing recruitment and selection support to applicants and hiring authorities.

Factor level Comparison:

More than 50% of the work involves providing technical recruitment and selection assistance to the hiring authority and applicants. This work involves tasks that require the identification and examination of data and deciding on a course of action based on a combination of readily observable variables. For example, this position will discuss and review interview candidates with hiring authorities for potential problems with candidates. Position must consider comparison of qualifications, reference checks, committee agreement, union seniority and veteran's preference. The incumbent needs to apply information to and work with a variety of levels of projects and individuals. These range from the applicant, employee, students, staff, public, deans, department heads, state agencies and news organizations. For example, in providing assistance to hiring authorities, reviewing hiring decisions requires comparing qualifications, reference checks, committee agreement, union seniority and veteran's preference. Occasionally this position must search for additional facts in order to answer questions or obtain sufficient background information to clarify and refer appropriately. This requires knowledge of appropriate procedures, sources of information and the ability to summarize and draw conclusions from the data. Generally, the knowledge and skills required to perform the job requires job-related experience and at least two years of related post – secondary education.

Benchmark Comparisons:

Similar to Benchmark 215004, Payroll and Benefits Technician, Grade 9, level 3. This benchmark performs highly detailed tasks and duties in processing and reviewing payroll documents for accuracy, preparing payroll reports and maintaining records. The subject position performs similarly detailed review of recruitment and selection documents, processes and requirements, prepares reports and provides information to hiring authorities, applicants and others. in both cases the assignments are generally routine and recurring and require decisions based on readily observable variables.

Weaker than Benchmark 166056, Personnel Assistant, grade 11, level 4. The benchmark creates and conducts workshops to inform employees of the state benefits program, which requires seeking out and gathering data and arranging work elements into new arrangements in order to provide adequate and appropriate training. The subject position provides answers to a number of straightforward questions that do not require interpretation in order to respond adequately. Questions that require additional information or interpretation of guidelines or rules are referred to a higher authority.

John Illustration

Human Resource Manager

07-07-2007

Classifier Signature

Title

Date

Upon completion of this section the classifier should make certain that the Job Code Number, Job Code Title and Pay Band on the first page of this document accurately reflect the Choice of Class Series and classification factor level determined above. Attach Organizational Chart, Audit Notes or other pertinent information.

This completed document should now be filed in: I:\Classref\Agencyjp\agency#\filename). File naming convention is: (position#)jp(date).doc (e.g. 000573jp0100.doc, where date is: month year).

ADDENDUM B

Behavioral interview questions based on the Statewide Competency Model.

COMPETENCY- BASED QUESTION INDEX

Commitment Pink

Loyalty/dedication	1
Commitment to organization/mission of agency	3
Commitment to profession/keeps current	5
Commitment to serve the public	5
Reliable/dependable	5

Communication Green

Quality and Customer Orientation	1
Persuasion	4
Speaking effectively	8
Writing effectively	10

Initiative and Accountability Blue

Decision Making	1
Efficiency/focus	4
Independence and responsibility	9
Organizational understanding	18

Influence Orange

Leadership and mentoring	1
Relationship building	7
Networking	8

Personal Effectiveness Yellow

Self-knowledge/personal awareness	1
Ethics	4
Interpersonal understanding	5
Professionalism	13
Flexibility/adaptability	23
Teamwork	28

Thinking and Problem-solving Violet

Analytical thinking	1
Creativity/Problem-solving	9

Commitment

Questions for a Competency-Based Interview

Loyalty/Dedication

1. Describe a situation in which you were expected to work with an individual whom you personally disliked...How did you cope?

Discover if the individual has the commitment to do a job well, despite dislike for co-workers. Evaluate if results orientation is strong enough to overcome personal dislike.

2. Give a specific example of a policy you conformed to with which you did not agree.
3. Have you found it necessary to perform jobs, which do not match well with your interests and abilities?...Be specific.

To what extent was the individual able to flexibly alter personal desires and interests in order to get a job done? Discover if the individual was able to do a job well, even if it was distasteful.

4. It often takes extra effort to accomplish a task or reach a target. Can you give me a specific example of when you had to exert that extra effort?
5. Most of us face situations from time to time which cause us to think that whatever we do will have a negative outcome...that is, we will look bad, regardless of what our actions may be. Describe your experiences in this type of situation and share with me how you went about deciding what to do.

Consider if the individual avoided making a decision at all in the face of conflict; determine the extent to which the individual was detailed and objective in evaluating a situation; did the individual overreact to the conflict involved, thus making the decision on a purely emotional, as opposed to rational, basis?

6. Policy concerning pay can at times be unfair...How have you seen this situation in your past...How would you have solved the problem?

Observe if the individual is sensitive to policy/pay conflicts; determine if the individual has a feasible solution.

7. Sometimes we find ourselves having to live with an unresolved situation on the job. Tell me about a time when this happened to you and how you managed it.

8. Tell me about the best boss you ever had. Now tell me about the worst boss. What made it tough to work for him or her?
9. Tell me about a time when you had to go above and beyond the call of duty in order to get a job done.

10. What is important to you in a job?

11. What has been the highest-pressure situation you have been under in recent years? How did you cope with it?

Consider the individual's effectiveness in coping with pressure without explosion, walking away from the job or psychologically "giving up".

12. What types of pressures do you currently feel on your own job? How do you cope with their pressures?

To what extent is the individual accustomed to working under pressure; does he/she maintain active involvement or retreat from the situation?

13. When have you found it necessary to take work home?

To what extent does the individual organize and plan work so as to do a good job in a reasonable time; consider if the individual lacks sufficient job commitment to work long hours.

Commitment to Organization/Mission of Agency

1. Describe the steps you've taken to stay familiar with problem areas on your current jobs.

Evaluate the extent to which the individual uses objective data or informal reports from colleagues, co-workers or higher management.

2. Doing things right often means following traditional patterns, even if some of them seem old fashioned. Tell me about a work situation that illustrates this for you.
3. Give a specific example of a policy you conformed to with which you did not agree.
4. Have you ever worked in a situation in which you found higher management to be in conflict...if so, what did you do?

Look for personal maturity in getting a job done, while not taking sides on "personality" issues. Look for effective performance of responsibilities, in spite of higher level conflict.

5. Have you found it necessary to perform jobs which do not match well with your interests and abilities?...Be specific.

To what extent was the individual able to flexibly alter personal desires and interests in order to get a job done? Discover if the individual was able to do a job well, even if it was distasteful.

6. Can you tell me of a situation where you experienced pressure to make a decision you disagreed with? Where did the pressures come from? How did you handle it?

Discover how the individual has responded to group pressures or to pressures from superiors. In particular, look for evidence of "backbone" balanced with diplomacy.

7. On some jobs there are opportunities to save the organization money by choosing a less expensive course of action or less expensive material. Can you give me an example of how you might have done this?
8. Please tell me about a time in which you found it necessary to speak up about a quality issue where there was a real risk to the company's reputation.
9. Policy concerning pay can at times be unfair...How have you seen this situation in your past...How would you have solved the problem?

Observe if the individual is sensitive to policy/pay conflicts; determine if the individual has a feasible solution.

10. Sometimes we find ourselves having to live with an unresolved situation on the job. Tell me about a time when this happened to you and how you managed it.

11. Tell me about a time when you had a major disagreement with your boss and how you handled the situation.

12. Tell me about a situation where you have had to “stand up” for a decision you made, even though it made you unpopular.

Determine whether the individual’s stand resulted from stubbornness or commitment. Can the individual balance stubbornness or commitment with sufficient flexibility to work well in a team?

13. There are many jobs or parts of jobs that involve a continuous routine. Tell me about your experience with that kind of work and how you managed both yourself and the job.

14. What do you think you owe to your employer?

15. What does your employer owe you?

16. What has been the most political work situation you have experienced? Explain how you dealt with it.

Determine if the individual became actively involved in organization politics, withdrew from the situation, or took an aggressive stance.

17. What types of policies have you found to be personally distasteful? Did you conform? Why or why not?

Consider the extent to which an individual understands the role of policy in an organization; look for past history of failure to conform to policy.

18. What types of pressures do you currently feel on your own job? How do you cope with these pressures?

To what extent is the individual accustomed to working under pressure; does he/she maintain active involvement or retreat from the situation?

19. What is important to you in a job?

Commitment to Profession/Keeps Current

1. Describe the steps you've taken to stay familiar with problem areas on your current jobs.

Evaluate the extent to which the individual uses objective data or informal reports from colleagues, co-workers or higher management.

2. What would you observe to be the most creative bit of work done in your field in the last few years? How has the work impacted on you?

Observe if the individual can describe creative work. Also, determine if the individual's creative appreciation impacted on personal self-development?

Commitment to Serve the Public

1. Describe the steps you've taken to stay familiar with problem areas on your current jobs.

Evaluate the extent to which the individual uses objective data or informal reports from colleagues, co-workers or higher management.

Reliable/Dependable

1. There frequently are times when we all are placed under extreme pressure on the job. Would you tell me about such a time when you were under such pressure and how you handled it?

Communication Questions for a Competency-Based Interview

Quality and Customer Orientation

1. An old proverb says, "Silence is Golden". Describe a time in your life when you were proud of your ability to not speak out.

Determine if the individual is aware that it is sometimes better to remain silent.

2. Can you describe an experience in which you had to go more than half way to communicate with a "problem person"?

Observe if the individual has had experience in dealing with problem personalities; observe the individual's reported level of effectiveness in relating to the difficult situations; did the individual resort to withdrawal or over-aggression in dealing with the problem?

3. Customers frequently create a great deal of pressure. What has been your experience in this area?

Evaluate the individual's depth and level of experience in coping with customer complaints and anger; evaluate if the individual was able to cope with such pressures over a significant period of time. Were his/her coping mechanisms effective?

4. Describe the toughest communicative situation that you have had to deal with. What happened?

Determine if the individual dealt with the situation effectively. What style of communication did the individual use and was it well suited to the demands of the task?

5. Developing a positive relationship with a customer, either internal or external, is often critical for success. Can you give me an example of how you have been able to develop such a relationship with one of your customers and how you have used that relationship to help get the job done?

6. Give me an example of a time when you were able to successfully communicate with another person even when that individual may not have personally liked you (or vice versa).

7. Have you ever studied "body language" as an important adjunct to your communicative abilities? When has this knowledge helped you?

Evaluate awareness of techniques of interpreting body language; determine if the individual is able to give specific examples concerning the use of body language.

8. Have you ever worked for an extremely talkative manager? How did you ensure that you were communicating effectively with him/her?

Look for an indication that the interviewee will use verbal repetition or written memoranda to emphasize points.

9. Many people have the ability to "step into another's shoes." When has this skill been required of you?

Consider if the individual is able to provide a specific example of the use of empathy; consider if the individual was able to emotionally feel how the other person was feeling, or was simply logically understanding a particular situation.

10. Tell me about a time when you displayed excellent customer service?

11. Tell of a time when your active listening skills really paid off for you-maybe a time when other people missed the key idea being expressed.

12. Tell of the most difficult customer service experience that you have ever had to handle-perhaps an angry or irate customer. Be specific and tell what you did and what was the outcome.

13. There are times when a person has to "bite his/her tongue" in dealing with an irate boss, coworker, or customer. Please tell me about a time when you were in such a situation and how you handled it.

14. What does the phrase "two-way communications" mean to you? When have you successfully used two-way communications?

Is the individual aware of the fact that it is important to not only send information down to subordinates, but also up to management? Consider if the individual is able to relate the question to effective listening.

15. What types of experiences have you had in dealing with irate customers?

Evaluate the individual's ability to effectively communicate in a conflict environment.

16. When have you "tuned out" in a conversation?

Look for awareness of poor listening habits; determine if the individual can monitor his/her own inattentiveness in a conversation; determine if he/she has a specific strategy for improving his/her own listening effectiveness.

17. You're on the phone with another department resolving a problem, the intercom pages you for a customer on hold, your manager returns your monthly report with red pen markings and demands corrections within the hour. What do you do next?

Persuasion

1. Describe a situation in which you had to arrive at a compromise or guide others to a compromise.
2. Describe a situation in which you had to support the directives of higher management, even when you personally disagreed with them.

Consider if the individual can put his/her personal feelings aside in response to the direction of higher management. Does the individual look at higher management as being "they" who make mistakes, while preferring to side with the attitudes and opinions of subordinates.

3. Describe a situation in which you tried to solve interpersonal problems of co-workers?

Observe if the individual is aware that problem solving techniques can be applied to interpersonal difficulties.

4. Describe a situation in which one of your decisions was challenged by higher management...How did you react?

Observe if the individual was able to maturely re-emphasize the rationale for his/her decision, rather than acquiescing to authority.

5. Describe a situation in which you were able to use persuasion to successfully convince someone to see things your way.

6. Describe a situation where others you were working with on a project disagreed with your ideas. What did you do?

7. Describe a time when you had to sell an idea in difficult circumstances.

Discover if the individual has had experience with persuasion in difficult situations; evaluate effectiveness in changing the opinions of others; consider if the interviewee gave up too quickly or persisted too long.

8. Describe a time when you were able to effectively communicate a difficult or unpleasant idea to a superior.

9. Describe how you have coordinated the work of employees you supervised who disliked one another.

10. Describe the most significant or creative presentation, which you have had to complete.

11. Describe the toughest communicative situation that you have had to deal with. What happened?

Determine if the individual dealt with the situation effectively. What style of communication did the individual use and was it well suited to the demands of the task?

12. Give an example of a time in which you had to be persuasive in getting your idea across...even when the odds were against you.

Look for the individual's reliance on persuasive, as opposed to autocratic, techniques. Consider if there was a plan for approaching the problem; did the plan show insight with regard to the motivations and traits of other?

13. Give an example of when you had to work with someone who was difficult to get along with. Why was this person difficult? How did you handle this person?

14. Give me an example of a time when you were able to successfully communicate with another person even when that individual may not have personally liked you (or vice versa).

15. Give me an example when you redesigned a work process which improved the process efficiency.

16. Have you ever had difficulty getting others to accept your ideas? What was your approach? Did it work?

17. Have you ever had to "sell" an idea to your co-workers or group? How did you do it? Did they "buy" it?

18. Have you ever needed to make a decision but had the information withheld from you? What did you do?

Determine if the individual was assertive in trying to gain the information, or if he/she made a decision without the relevant information.

19. How do you persuade a person to take an action?

20. How do you react when you see co-workers disagreeing..? Do you get involved or hold back?

Evaluate if the individual can serve as a mediator in interpersonal conflict; consider if the individual is able to maintain a sense of calm when others are in disagreement.

21. In negotiations, understanding the point of view of the other person often helps us develop a counter strategy. Would you give me an instance of when that was true for you?

22. In order to be effective as a negotiator, it is important to not only be able to analyze your competition, but also to be able to compromise. Describe an experience in negotiating that reflects your ability to compromise.

Did the individual give an example of past behavior in compromising? Did the individual prefer pushing a single idea to compromising?

23. In your present job, tell me about a time when you had difficulty getting others to establish a common approach to a problem.

Establish if the individual planned a firm strategy for team building or simply used a "hip pocket" approach.

24. Is there anything that you feel is non-negotiable? If so, tell me about a time when that belief made people see you as inflexible or opinionated.

Did the individual describe a strong point or their character which would not allow for compromise? Observe if the individual gave examples of a failure to compromise, which would suggest difficulty in relating to others.

25. Many times employee's experience pressures to make a decision with which they disagree. Can you tell me of a situation like this that you have faced and how you handled it?

Discover how the individual has responded to group pressures or to pressures from superiors. In particular, look for evidence of "backbone" balanced with diplomacy.

26. Please tell me about a time in which you found it necessary to speak up about a quality issue where there was a real risk to the company's reputation. (Quality-focused)

27. Sometimes the only way to resolve a difference is through compromise. Can you tell me about a time when you were able to resolve a difficult situation by finding some middle ground?

28. Sometimes we need to settle people down and help them understand that there's a business to run. Give me an example, if you can, of a time when you had to do that.

29. Standing up for what you think is right can be an unpopular position to take. Tell me about a time when you had to do that. How did it turn out?

30. Tell me about a situation in the past year in which you had to deal with a very upset customer or co-worker.
31. Tell me about a situation when you had to speak up (be assertive) in order to get a point across that was important to you.
32. Tell me about a time when you had a major disagreement with your boss and how you handled the situation.
33. Tell me about a time when you had to convince a boss or someone in authority about your ideas. How did it work out?
34. There are times when one feels that a decision must be made even though others feel that it may be premature. Can you tell me about a time when you made a decision even though others were not ready to do so?
35. There are times when we know that our boss is simply wrong and no one else is going to take the boss on. Can you tell me about such a time and what you did? How did it end up?
36. What does the phrase "two-way communications" mean to you? When have you successfully used two-way communications?

Is the individual aware of the fact that it is important to not only send information down to subordinates, but also up to management? Consider if the individual is able to relate the question to effective listening.

37. What experiences have you had with budgetary decisions? What conclusions have you reached about how they ought to be done?

Determine if the individual is aware of the negotiation process typically involved in developing budgets; observe if the individual is aware that budgets are designed to reach objectives, rather than to simply expand functions.

38. What has been your experience in dealing with poor performance of subordinates? Give an example.

Did he/she make a distinction between private, as opposed to public discussion of errors? Did he/she lean toward termination or employee development as a means for dealing with problem employees?

39. What has been your experience in giving presentations to small or large groups? What had been your most successful experience in speech making?

Observe the individual's level of experience in speech making and general oral communications.

Speaking Effectively

1. All of us will feel shy or socially uncomfortable from time to time. When have you felt shy about communicating?...How did this influence your career?

Observe the extent to which the individual is willing to effectively speak up. Consider if the failure to communicate has created difficulties.

2. Can you describe an experience in which you had to go more than half way to communicate with a "problem person"?

Observe if the individual has had experience in dealing with problem personalities; observe the individual's reported level of effectiveness in relating to the difficult situations; did the individual resort to withdrawal or over-aggression in dealing with the problem?

3. Describe a "problem person" you have had to deal with...What did you say?

Determine whether the individual could see the "problem person's" point of view. Did the individual encourage or discourage future communications? Was the method of dealing with the "problem person" effective and is that method likely to be effective in the job under consideration?

4. Describe a situation in which you had to collect information by asking many questions of several people.

5. Describe a time when you were able to effectively communicate a difficult or unpleasant idea to a superior.

6. Describe the most significant or creative presentation, which you have had to complete.

7. Describe the toughest communicative situation that you have had to deal with. What happened?

Determine if the individual dealt with the situation effectively. What style of communication did the individual use and was it well suited to the demands of the task?

8. Have you ever had to deal with an employee who broke policy? How did you handle it?

Determine if the individual is aware of the fact that policy must be consistently administered to all individuals; observe if the individual shows feelings of compassion for persons that policy seems to work against.

9. In a supervisory or group leader role, have you ever had to discipline or counsel an employee or group member? What was the nature of the discipline? What steps did you take? How did that make you feel? How did you prepare yourself?

10. Tell me about a situation when you had to speak up (be assertive) in order to get a point across that was important to you.

11. Timing is something very important in communicating...Describe a situation when your timing was good...bad.

Evaluate the individual's level of appreciation for "timing" sensitive communications.

12. What does the phrase "two-way communications" mean to you? When have you successfully used two-way communications?

Is the individual aware of the fact that it is important to not only send information down to subordinates, but also up to management? Consider if the individual is able to relate the question to effective listening.

13. What has been your experience in dealing with poor performance of subordinates? Give an example.

Did he/she make a distinction between private, as opposed to public discussion of errors? Did he/she lean toward termination or employee development as a means for dealing with problem employees?

14. What has been your experience in making formal recommendations and oral reports to management?

Determine if the individual has experience in communicating with authority figures. Does his/her example suggest that he/she can communicate well in the job under consideration?

Writing Effectively

1. Describe a time when you were able to effectively communicate a difficult or unpleasant idea to a superior.
2. Describe the most elaborate (lengthy) report you have ever written. What aspects were the most difficult for you?

Determine if the individual is experienced in writing important reports.

3. Describe the toughest communicative situation that you have had to deal with. What happened?

Determine if the individual dealt with the situation effectively. What style of communication did the individual use and was it well suited to the demands of the task?

4. Developing and using a detailed record-keeping system is often very important in a job. Tell me about a time when you needed to develop and use such a system.
5. Have you ever been responsible for the creation of forms, checklist, workflow procedures, etc.? How did others evaluate your work?

Evaluate the individual's background and experience with written, structured communication formats.

6. Have you ever had to tell a subordinate that his/her performance is not up to par? How did you handle it?

Did the individual obtain specific performance information prior to moving into a difficult performance communication? Did the individual discuss work behaviors rather than personality?

7. Have you ever used bulletin boards? What problems came up? How did you deal with them?

Observe if the individual uses bulletin boards as a means of communication; is there awareness of the potential problems of using bulletin boards as a single basis for written communications?

8. How do you feel about your ability to write, spell and communicate in a written fashion? What kinds of feedback have you received about your writing ability?

Determine if the individual feels uncomfortable with written forms of communication; observe if the individual has attempted to overcome inadequacies in writing.

9. In your current position, how often do you prepare written reports?...How long are these reports? How have they been received?

Consider level of experience in preparing written reports; observe the individual's motivation to communicate in a written manner.

10. In your last position, how often was it necessary for you to write letters? Did you ever use a form letter?

Observe if the interviewee appreciates the efficiency of a form letter procedure; consider if the individual is aware of the fact that form letters may often be sterile and vague.

11. Many managers find written work, letters, memoranda, to be "a bore". What experiences have you had to confirm or disconfirm that belief?

Observe if the individual has sufficient self-discipline to meet the paperwork requirements associated with the position under consideration.

12. Some managers say that "warning letters" are a waste of time...Have you ever written or received such letters? Did you feel they were effective?

Evaluate the individual's experience in writing and using warning letters; consider if he/she appreciates the fact that a warning letter is a part of a company's policy on discipline.

13. Tell me about a situation of such importance that you felt it necessary to summarize the results of a conversation in a memorandum or letter.

Observe the individual's willingness to use the written word for protection in communications; consider awareness of the value of written communications to emphasize a point of communication.

14. Tell me about a time in which you had to use your written communication skills in order to get an important point across.

15. Timing is something very important in communicating...Describe a situation when your timing was good...bad.

Evaluate the individual's level of appreciation for "timing" sensitive communications.

16. We often need to document what we've done at work in written form. Can you give me an example of how you've done that? (Detail-oriented)

17. What does the phrase "two-way communications" mean to you? When have you successfully used two-way communications?

Is the individual aware of the fact that it is important to not only send information down to subordinates, but also up to management? Consider if the individual is able to relate the question to effective listening.

18. What has been your experience in making formal recommendations and oral reports to management?

Determine if the individual has experience in communicating with authority figures. Does his/her example suggest that he/she can communicate well in the job under consideration?

19. When have you felt that it was important to create graphs, charts, etc., for presentations?

Determine if the individual has had experience in oral and visual presentation. Observe if he/she is aware that visually communicated information can enhance the impact of spoken communications.

Initiative and Accountability Questions for a Competency-Based Interview

Decision Making

1. Can you describe a situation in which you have found it important to "take a stand" even when the outcome would likely be to your own disadvantage?

Consider if the individual's willingness to assume a firm position is an indication of high integrity or inflexibility; did the situation he/she describe appear to be of sufficient importance to justify taking a firm position?

2. Describe a problem situation you have faced which has been (almost) overwhelming to you.

Determine if the individual is prone to overreact in critical decision-making situations. Does the handling of the situation suggest a decision-making strategy that would be valuable of the job under consideration?

3. Describe a situation in which you found yourself to be an analytical and thorough decision-maker.

Did the individual have difficulty in pinpointing an example concerning personal decision-making style? Observe if the interviewee is analytical in responding to this particular question.

4. Describe a situation in which you had a difficult (management) problem. How did you solve it?

5. Describe a situation in which you have been speedy in deciding what to do.

Consider the degree of comfort or discomfort the interviewee experienced when coming to a fast decision; look for an indication that the interviewee sees both the assets and liabilities in speedy decision making.

6. Describe a situation in which you needed to make a decision even though you did not have all of the important information.

Determine specific awareness of the importance of facts in decision, even when all facts are not available.

7. Describe a situation in which you were asked to bend the rules, and how did you handle it.

8. Give me an example of a time when you had to be quick in coming to a decision

9. Have you ever needed to make a decision but had the information withheld from you? What did you do?

Determine if the individual was assertive in trying to gain the information, or if he/she made a decision without the relevant information.

10. Tell me about the biggest career decision you have had to make. How did you come to your decision?

Observe if the individual was analytical and thoughtful, or speedy and impulsive in coming to a decision.

11. There are times when one feels that a decision must be made even though others feel that it may be premature. Can you tell me about a time when you made a decision even though others were not ready to do so.

12. There are times when the rules need to be enforced, regardless of circumstances. Can you tell me about a time when you enforced a rule although the others involved offered "extenuating circumstances?"

13. Were you ever in a situation in which you had to meet two different deadlines given to you by two different people and you couldn't do both? What did you do?

14. What happens when you fail to meet a goal? How do you feel? Can you tell me about a goal you set and then were not able to meet?

Does the individual set realistic goals? Is the feedback from unreached goals used constructively? Are goals set with sufficient flexibility to meet the demands of the particular situation?

15. What have been major obstacles which you have had to overcome on your past job? How did you deal with them?

Consider awareness of obstacles and the use of specific approaches for the solution of problems.

16. What is the most difficult decision you've had to make? How did you arrive at your decision?

17. What is the toughest decision you have had to make about a fellow employee?...How did you go about it?...What was the outcome?

Evaluate the interviewee's ability to make a difficult decision; did the interviewee approach the decision in a rapid, speedy manner or was the

decision-making postponed? What kind of values were emphasized-individual values such as forgiveness and understanding or organization values such as policy and competence?

18.What is the toughest decision you have had to make with regard to a subordinate that you personally liked?

Consider if the individual maintained the rights of the individual employee, while simultaneously seeing that the job was done well. Was sound judgement shown and an unbiased decision made?

19.What steps do you follow to study a problem before making a decision?

20.What steps have you taken when making a decision to terminate an employee?

Determine if information associated with performance was collected before or after the decision. Was the decision based on personality or politics and then justified with the facts? Or did the facts lead to the decision?

21.What types of decisions do you feel are beyond the level of authority you have in your present (most recent) job?

Look for an awareness of knowledge of decision-making responsibility; estimate levels of past decision-making responsibility in comparison to the position for which he/she is being considered.

Efficiency/Focus

1. Are reasonable goals set? Has the individual used feedback to recalibrate goal setting? What sort of information is used to establish goals? Is goal setting a "gut" level function or is it data based?
2. Describe a situation in which you have been speedy in deciding what to do.

Consider the degree of comfort or discomfort the interviewee experienced when coming to a fast decision; look for an indication that the interviewee sees both the assets and liabilities in speedy decision making.

3. Describe a situation that required a number of things to be done at the same time. How did you handle it? What was the result?
4. Describe a time when you were under pressure to make a decision. Did you react immediately or take your time in deciding what to do?

Consider if the individual is impulsive and reactive to pressure; or does he/she momentarily retreat to logically analyze and evaluate option; note that the reactive, quick coping style may be desirable in certain jobs, while the more analytic and slow style may be valuable in other types of positions.

5. Describe how you determined your priorities on your last job.

Did the individual define priorities in terms of a well-defined, long-range approach? Is there evidence for establishment of priorities on a daily basis?

6. Describe how you schedule your time on an unusually hectic day. Give a specific example.

Consider specific elements in work scheduling...Did the individual control the environment? Or did the environment control the individual?

7. Describe some situations in which you worked under pressure or met deadlines.

8. Do you do personal planning?...If yes, what are your goals?

Observe if the individual is planful and organized apart from the work environment; consider if planning and organization are natural aspects of this individual's personality.

9. Do you set short-term as well as long-term goals? Which kind takes priority? (e.g. will you sacrifice short-term goals like a vacation for long-term goals, like buying a house?)

10. Do you tend to set goals that are easily attainable or ones that are difficult to reach? Tell me about a goal you set that was realistically too easy (or too difficult). What did you learn from the experience?
11. Developing and using a detailed record-keeping system is often very important in a job. Tell me about a time when you needed to develop and use such a system.
12. Give me an example of an important goal which you had set in the past and tell me about your success in reaching it.
13. Have you ever been in a situation where a project was returned for errors? What effect did this have on you?
14. Have you ever introduced a new idea? Can you describe what it covered, the steps you took to implement it and why you saw the need to introduce it?
15. Have you ever studied how your time is spent on the job? If so, what were the results?

Look for awareness of the importance of time management. To what extent did the individual develop an organized process for using the time study results?

16. Have you ever worked for an extremely talkative manager? How did you ensure that you were communicating effectively with him/her?

Look for an indication that the interviewee will use verbal repetition or written memoranda to emphasize points.

17. How did you organize your work in your last position? What happened to your plan when emergencies came up?

Observe if the individual is aware of the importance of having a specific time for planning and organization. Was time given to establishing work procedures? Did the plan effectively deal with emergencies?

18. How do you determine priorities in scheduling your time? Give examples.
19. How far ahead do you plan? Can you tell me about a time when planning ahead (or not planning ahead) benefited you (or hurt you)?
20. How have you approached goal setting? Do you have a specific process which you use? Describe how you set a specific goal.

Discover if the individual actively uses tools such as management by objectives or personal work planners. Also, determine if the individual has a specific time which is used for goal setting.

21. It often takes extra effort to accomplish a task or reach a target. Can you give me a specific example of when you had to exert that extra effort?
22. Please relate a specific instance when you found it necessary to be quite exact in your standards in order to do a job. How did you handle that situation?
23. Tell me about a job in which there was a great deal of paperwork that you were required to complete. What specific things did you do to ensure your accuracy?
24. Tell me about how you typically schedule your day. To what extent do you use some kind of time management system and to what extent do you simply wait to see what turns up?
25. Tell me about your experience in jobs that required you to be especially alert to details while doing the job.
26. Tell me your experience in your last job of "changing horses in mid-stream" (meaning frequent changing of tasks, priorities, and missions).

Determine if the individual can provide a specific example of juggling several tasks at once. Can the individual demonstrate flexible work habits in response to a rapidly changing environment?

27. There are often situations where there are many voices calling for attention. Tell me about a specific situation where that was the case and how you responded. How did it all turn out?
28. There are times in a job when you have to develop a game plan and stick to it, despite the obstacles. Can you tell me about a time when that was true for you?
29. There are times when you have to be rather forceful in order to move a project ahead. Can you tell me about a time when you had to do that?
30. We often need to document what we've done at work in written form. Can you give me an example of how you've done that? (Detail-oriented)
31. Were you ever in a situation in which you had to meet two different deadlines given to you by two different people and you couldn't do both? What did you do?

32. What are your short-term or long-term career goals?
33. What are your standards of success on the job? What have you done to meet these standards?
34. What happens when you fail to meet a goal? How do you feel? Can you tell me about a goal you set and then were not able to meet?

Does the individual set realistic goals? Is the feedback from unreached goals used constructively? Are goals set with sufficient flexibility to meet the demands of the particular situation?

35. What have been major obstacles which you have had to overcome on your past job? ...How did you deal with them?

Consider awareness of obstacles and the use of specific approaches for the solution of problems.

36. What have been your experiences in scheduling the work of others? What problems arose? How did you handle them?

37. What have you learned from your mistakes?

38. What important goals have you set in the past, and how successful have you been in working toward their accomplishment?

Look for specific goals. Were the goals specific and realistic enough to serve as a motivating influence?

39. What is your biggest time-waster at work? How would you change it if you could?

The most frequent response to this type of question is meetings. Determine if the individual has a method for creatively reducing the time wasted in method for creatively reducing the time wasted in meetings, group sessions, etc.; otherwise evaluate the creativity of the answer.

40. What is your procedure in keeping track of matters that require your constant attention? When has your system broken down?

41. What period in your life was most characterized by a lack of planning and direction? What did you do?

Observe if the individual developed plans of action to cope or if he/she exhibited signs of frustration or anxiety.

42. What responsibilities do you want, and what kinds of results do you expect to achieve in your next job?
43. What standards have you set for yourself in your current position? How have you gone about meeting these standards?
44. What tricks or techniques have you learned to make school or a job easier, or to make yourself more effective? How did you learn that?
45. What would you do if you were in a situation that your supervisor gives you an urgent task while you are working at another project with an approaching deadline.
46. When have you found it necessary to take work home?

To what extent does the individual organize and plan work so as to do a good job in a reasonable time; consider if the individual lacks sufficient job commitment to work long hours.

47. Would you tell me about when you've had to handle high stress on a recent job? Tell me about the situation, the other people involved, what happened, and what you did to help handle the situation.
48. You're on the phone with another department resolving a problem. The intercom pages you for a customer on hold. Your manager returns your monthly report with red pen markings and demands corrections within the hour. What do you do next?

Independence and Responsibility

1. All of us have been in work situations where we were unsure of how things would work out. Please give me a specific example of when you found yourself in such a situation and how you reacted.
2. At times a situation comes up where we can really "make our mark." Please tell me about such a time for you and how it all turned out.
3. Can you describe a situation in which you have found it important to "take a stand" even when the outcome would likely be to your own disadvantage?

Consider if the individual's willingness to assume a firm position is an indication of high integrity or inflexibility; did the situation he/she describe appear to be of sufficient importance to justify taking a firm position?

4. Can you describe a time when you stuck with a goal you'd set even though now, in retrospect, it was an obvious mistake? In other words, did commitment to a goal ever prevent you from being as flexible as you should have been?

Can the individual commit to a goal and still maintain flexibility? Can the person evaluate past performance in a broader perspective than simple goal attainment or non-attainment? Is the person capable of questioning the value of a goal?

5. Can you tell me about a time when you delayed responding to a situation until you had time to think it through, even though there was pressure on you to act quickly?
6. Can you tell me about a time when your carefully laid plans were fouled up? How did you react? What happened?

Is the individual a slave to his/her plans? What strategy was used to reformulate plans? Is the individual flexible in planning?

7. Compare and contrast the times when you did work which was above the standard with times your work was below the standard.
8. Could you describe a time when your concern about how things might turn out prevented the company from experiencing a serious problem.
9. Describe a recent unpopular decision you made and what the result was.
10. Describe a situation in which one of your decisions was challenged by higher management...How did you react?

Observe if the individual was able to maturely re-emphasize the rationale for his/her decision, rather than acquiescing to authority.

11. Describe a situation in which you changed your mind, even after you publicly committed to a particular idea.

Observe if the individual has changed on an important issue. Was the individual motivated to change his/her position because of new information or because of social pressures?

12. Describe a situation in which you found that your results were not to your supervisor's expectations. What happened? What action did you take?

13. Describe a situation in which you needed to make a decision even though you did not have all of the important information.

Determine specific awareness of the importance of facts in decision, even when all facts are not available.

14. Describe a situation where others you were working with on a project disagreed with your ideas. What did you do?

15. Describe a time when it was necessary for you to postpone making a decision even when you felt frustrated in holding back.

Look for an ability to postpone action in the face of frustration.

16. Describe a time when you were under pressure to make a decision. Did you react immediately or take your time in deciding what to do?

Consider if the individual is impulsive and reactive to pressure; or does he/she momentarily retreat to logically analyze and evaluate option; note that the reactive, quick coping style may be desirable in certain jobs, while the more analytic and slow style may be valuable in other types of positions.

17. Describe an instance when you had to think on your feet to extricate yourself from a difficult situation.

18. Describe how you determined your priorities on your last job.

Did the individual define priorities in terms of a well-defined, long-range approach? Is there evidence for establishment of priorities on a daily basis?

19. Describe some times when you were not very satisfied or pleased with your performance. What did you do about it?

20. Describe some projects or ideas (not necessarily your own) that were implemented, or carried out successfully primarily because of your efforts.

21. Describe the most risky business decision you have made...How did you go about it?...How did it work out?

Determine if the individual is aware of risks involved in decision making; consider if the interviewee is willing to make decisions in a risky environment or if the approach is more cautious.

22. Do others perceive the individual as assertive or aggressive? Does the individual take pride in such descriptions?

23. Do you have any questions for me?

24. Do you prefer to have a job in which you have well laid-out tasks and responsibilities, or one in which your work changes on a frequent basis?

Consider the individual's preference for structured, as opposed to non-structured work. Probe for flexibility in working in an unstructured situation.

25. Evaluate your past employer in terms of emphasis on goal setting and planning.

Can the individual give specific examples of failure in planning?...Or was the description of a specific planning process, including annual goal setting or management by objectives?

26. Getting the job done sometimes requires a consistent, predictable approach. Give me an example of a time when you developed and implemented such a plan. How did it turn out?

27. Give me a recent example of a situation you have faced when the "pressure was on"-What happened? How did you handle it?

28. Give me an example of a time when you had to keep from speaking or making a decision because you did not have enough information.

29. Has anyone ever described you as a "tiger" or a "go-getter"? What were the circumstances?

30. Have you ever been in a situation where a project was returned for errors? What effect did this have on you?

31. Have you ever had to handle a “sticky” decision for which no policy exists? What did you do?

Observe if the individual can describe a reasonable and mature rationale for dealing with a specific “people problem”; consider if the individual was aware of the potential negative outcome of a poor decision.

32. Have you ever held a job in which you had the freedom to write your own job description? If so, how did you structure your work?

Consider the individual's ability to flexibly define tasks and responsibilities in the absence of direction from management.

33. Have you ever needed to make a decision but had the information withheld from you? What did you do?

Determine if the individual was assertive in trying to gain the information, or if he/she made a decision without the relevant information.

34. Have you ever studied how your time is spent on the job? If so, what were the results?

Look for awareness of the importance of time management. To what extent did the individual develop an organized process for using the time study results?

35. Have you found any ways to make school or a job easier or more rewarding?

36. How do you measure your own success?

37. If you could change one (managerial) decision you made during the past two years, what would that be?

38. In your career, have you ever experienced a serious conflict of goals? Tell me about it. How did you decide which goal was more important?

Was the prioritizing of goals done on a rational or an intuitive basis? Were the reasons for choosing one goal over another personal or organizational?

39. In your current position, what types of decisions do you make without consulting your immediate manager?

Look for an awareness of the boundaries of decision-making authority; is the individual willing to take charge if necessary?

40. In terms of dollars and cents, what is the costliest mistake (or near mistake) you've ever made? How much could a poor decision on your part cost your employer?

Evaluate the extent to which the individual is sensitive to the costs of a poor decision; look for the ability to estimate a specific dollar amount associated with a decision-making error.

41. It often takes extra effort to accomplish a task or reach a target. Can you give me a specific example of when you had to exert that extra effort?

42. Many jobs involve fairly close supervision. Describe an experience you have had working under such close supervision. How did you handle yourself and how well did you manage the job?

43. Many managers find written work, letters and memoranda, to be "a bore." What experiences have you had to confirm or disconfirm that belief?

Observe if the individual has sufficient self-discipline to meet the paperwork requirements associated with the position under consideration.

44. Many times employee's experience pressures to make a decision with which they disagree. Can you tell me of a situation like this that you have faced and how you handled it?

Discover how the individual has responded to group pressures or to pressures from superiors. In particular, look for evidence of "backbone" balanced with diplomacy.

45. Please describe a time when your plans didn't work out. What did you do to recover?

46. Please tell me about a time in which you found it necessary to speak up about a quality issue where there was a real risk to the company's reputation. (Quality-focused)

47. Sometimes it's essential that we break out of the routine, standardized way of doing things in order to complete the task. Give me an example from your experience when you were able to successfully develop such a new approach.

48. Sometimes we have to take a stand in order to launch a new project. Give me an example of a time that you did that and tell me how it ended up.

49. Standing up for what you think is right can be an unpopular position to take. Tell me about a time when you had to do that. How did it turn out?

50. Tell me about a job in which there was a great deal of paperwork that you were required to complete. What specific things did you do to ensure your accuracy?

51. Tell me about a situation of such importance that you felt it necessary to summarize the results of a conversation in a memorandum or letter.

Observe the individual's willingness to use the written word for protection in communications; consider awareness of the value of written communications to emphasize a point of communication.

52. Tell me about a situation where you "blew it." How did you resolve or correct it to save face?

53. Tell me about a situation where you have had to "stand up" for a decision you made, even though it made you unpopular.

Determine whether the individual's stand resulted from stubbornness or commitment. Can the individual balance stubbornness or commitment with sufficient flexibility to work well in a team?

54. Tell me about a time when there was real danger involved, either to yourself or others. What was the situation and how did you handle both yourself and the others?

55. Tell me about a time when you had a major disagreement with your boss and how you handled the situation.

56. Tell me about a situation when you had to speak up (be assertive) in order to get a point across that was important to you

57. Tell me about a time when you had to stand up for your position, even though there was a good chance that your position might not be the successful one.

58. Tell me about a time when you had to step out of the tried-and-true and find a new way to achieve your goals.

59. Tell me about a time when you were the one to confront a difficult situation or person, a time when others who should have spoken up were hanging back.

60. Tell me about an objective in your last job that you failed to meet and why.

61. Tell me of a time when you had to work on a project that didn't work out the way it should have. What did you do?

62. Tell of a time when you worked with a colleague who was not completing their share of the work. Who, if anyone, did you tell or talk to about it? Did the manager take any steps to correct your colleague? Did you agree or disagree with the manager's actions?
63. Tell of some situations in which you have had to adjust quickly to changes over which you had no control. What was the impact of the change on you?
64. There are times when we know that our boss is simply wrong and no one else is going to take the boss on. Can you tell me about such a time and what you did? How did it end up?
65. There are times when one feels that a decision must be made even though others feel that it may be premature. Can you tell me about a time when you made a decision even though others were not ready to do so?
66. There are many times when it's really important not to change your mind, even when others offer cogent arguments against your position. Tell me about a time when this happened to you.
67. There are times when the rules need to be enforced, regardless of circumstances. Can you tell me about a time when you enforced a rule although the others involved offered "extenuating circumstances?"
68. There are times when we work without close supervision and we must make sure the job gets done. Tell me about when you found yourself in such a situation. What happened?
69. There frequently are times when we all are placed under extreme pressure on the job. Would you tell me about such a time when you were under such pressure and how you handled it?
70. Standing up for what you think is right can be an unpopular position to take. Tell me about a time when you had to do that. How did it turn out?
71. Sooner or later everybody makes mistakes. What was the most significant mistake you made on your last job and explain why you made it? What did you learn from it?
72. What are you most proud of?
73. What are your standards of success on the job? What have you done to meet these standards?
74. What do you expect to find in our company that you don't have now?

75. What does your past have to say about your ability to predict changes in the work environment? When have you been most surprised about a change?

Has the individual been alert to specific "clues" about changes in the work environment?

76. What happens when you fail to meet a goal? How do you feel? Can you tell me about a goal you set and then were not able to meet?

Does the individual set realistic goals? Is the feedback from unreached goals used constructively? Are goals set with sufficient flexibility to meet the demands of the particular situation?

77. What has been your biggest mistake in employee selection?... Do you now understand why the mistake was made?

Look for an ability to criticize, be alert to and/or profit from selection mistakes. Did the individual comment on how he/she had benefited from the experience?

78. What have you done that was innovative?

79. What have you learned from your mistakes?

80. What have been major obstacles which you have had to overcome on your past job?...How did you deal with them?

Consider awareness of obstacles and the use of specific approaches for the solution of problems.

81. What important goals have you set in the past, and how successful have you been in working toward their accomplishment?

Look for specific goals. Were the goals specific and realistic enough to serve as a motivating influence?

82. What is important to you in a job?

83. What is your biggest time-waster at work? How would you change it if you could?

The most frequent response to this type of question is meetings. Determine if the individual has a method for creatively reducing the time wasted in meetings, group sessions, etc.; otherwise evaluate the creativity of the answer.

84. What job was the most frustrating and why?
85. What period in your life was most characterized by a lack of planning and direction? What did you do?
- Observe if the individual developed plans of action to cope or if he/she exhibited signs of frustration or anxiety.
86. What previous job was the most satisfying and why?
87. What responsibilities do you want, and what kinds of results do you expect to achieve in your next job?
88. What standards have you set for yourself in your current position? How have you gone about meeting these standards?
89. What types of decisions do you feel are beyond the level of authority you have in your present (most recent) job?
Look for an awareness of knowledge of decision-making responsibility; estimate levels of past decision-making responsibility in comparison to the position for which he/she is being considered.
90. What was a routine problem that you had to deal with on your last job? What procedures did your boss expect you to use in dealing with the problem. What procedures did you create?
Determine if the individual was aware of and used a standard procedure for dealing with regular problems. If no policy/procedure was set, did he/she create one?
91. What would you do if you were in a situation that your supervisor gives you an urgent task while you are working at another project with an approaching deadline.
92. When taking on a new task, do you like to have a great deal of feedback and responsibility at the outset, or do you like to try your own approach
93. What tricks or techniques have you learned to make a job easier, or to make yourself more effective? How did you learn that?
94. Why should we hire you?

Organizational Understanding

1. Describe a situation in which you found that your results were not to your supervisor's expectations. What happened? What action did you take?
2. Describe a situation in which you had to support the directives of higher management, even when you personally disagreed with them.

Consider if the individual can put his/her personal feelings aside in response to the direction of higher management. Does the individual look at higher management as being "they" who make mistakes, while preferring to side with the attitudes and opinions of subordinates.

3. Describe a time when "politics" at work affected your job. How did you deal with it?
4. Do you have any questions for me?
5. Give an example in which you have seen a manager improperly use authority. How did you react to the situation?...How did you cope with it?

Observe if the interviewee implies that strong use of authority in leadership is always desirable; can the individual use persuasion to influence others?

6. In your career, have you ever experienced a serious conflict of goals? Tell me about it. How did you decide which goal was more important?

Was the prioritizing of goals done on a rational or an intuitive basis? Were the reasons for choosing one goal over another personal or organizational?

7. In your current position, what types of decisions do you make without consulting your immediate manager?

Look for an awareness of the boundaries of decision-making authority; is the individual willing to take charge if necessary?

8. Please tell me about a time in which you found it necessary to speak up about a quality issue where there was a real risk to the company's reputation. (Quality-focused)
9. Tell me about a situation when you had to speak up (be assertive) in order to get a point across that was important to you.

10. Tell of a time when you worked with a colleague who was not completing their share of the work. Who, if anyone, did you tell or talk to about it? Did the manager take any steps to correct your colleague? Did you agree or disagree with the manager's actions?

11. Were you ever in a situation in which you had to meet two different deadlines given to you by two different people and you couldn't do both? What did you do?

12. What does your past have to say about your ability to predict changes in the work environment? When have you been most surprised about a change?

Has the individual been alert to specific "clues" about changes in the work environment?

13. What has been the most political work situation you have experienced? Explain how you dealt with it.

Determine if the individual became actively involved in organization politics, withdrew from the situation, or took an aggressive stance.

14. What is your management style? How do you think your subordinates perceive you?

15. What types of decisions do you feel are beyond the level of authority you have in your present (most recent) job?

Look for an awareness of knowledge of decision-making responsibility; estimate levels of past decision-making responsibility in comparison to the position for which he/she is being considered.

Influence

Questions for a Competency-Based Interview

Leadership and Mentoring

1. Are you good at figuring out what will motivate someone else? When were you able to do this?
2. Determine if the individual appreciates individual differences in motivators.
3. Briefly review the leadership experience you have had, giving examples that would show what your leadership style is like.
4. Consider if the individual uses an autocratic or persuasive leadership style; also determine if the individual can be influential without use of power, status or position. Consider the quality of past leadership accomplishments.
5. Can you give me an example of when you came up with a clever way of motivating someone?

Determine the individual's ability to apply creativity to the problem of motivation.

6. Describe a high morale group in which you have worked. Who was responsible for creating the motivation? What did they do?

Determine if the individual is aware of energizing/motivational techniques.

7. Describe a situation in which you changed your mind, even after you publicly committed to a particular idea.

Observe if the individual has changed on an important issue. Was the individual motivated to change his/her position because of new information or because of social pressures?

8. Describe a situation in which you had to arrive at a compromise or guide others to a compromise.
9. Describe a situation in which you were able to use persuasion to successfully convince someone to see things your way.
10. Describe a situation when you were able to have a positive influence on the actions of others.
11. Describe a situation where others you were working with on a project disagreed with your ideas. What did you do?

12. Describe a time when you had to sell an idea in difficult circumstances.

Discover if the individual has had experience with persuasion in difficult situations; evaluate effectiveness in changing the opinions of others; consider if the interviewee gave up too quickly or persisted too long.

13. Describe how you have coordinated the work of subordinates who disliked one another.

Consider the individual's ability to serve as a mediator and establish common objectives for differing personalities.

14. Describe the most significant or creative presentation, which you have had to complete.

15. Every work group has times when people just seem down and need someone to "pep them up." Give me an example of when you have been the person who has been able to do that.

16. Give a brief summary of the leadership situations which you have held. What was your major success and major failure as a leader?

Consider level of experience, including breadth or variety of leadership situations, and depth or level of responsibility in leadership; evaluate the level of effectiveness in these experiences.

17. Give a specific example of a time when you motivated co-workers.

Determine if the individual is aware of the need to be able to motivate others; does he/she have specific ideas on the topics?

18. Give an example in which you have seen a manager improperly use authority. How did you react to the situation? How did you cope with it?

Observe if the interviewee implies that strong use of authority in leadership is always desirable; can the individual use persuasion to influence others?

19. Give an example of a situation in which you developed a high-morale working group.

Did the individual define a high-morale group in terms of strong group coalescence and high standards of performance? Did the interviewee emphasize both task and people orientation in gaining high morale?

20. Give me a specific example of when you had to motivate a group of people to get an important job done.

21. Give me an example of a time in which you were able to build motivation in your co-workers or members of your student organization.
22. Give me an example of when you had to show good leadership.
23. Give me an example of when you simply had to use your authority to get something done. What were the consequences?
24. Give me an example of when you redesigned a work process which improved the process efficiency.

25. Have you ever been in a situation where the other person, for some reason, had a negative opinion of you before you said a word? Respond to this situation?

Determine whether the individual was able to deliberately alter behavior to create a more positive impression. Was there an ability to overcome the negative impression?

26. Have you ever had difficulty getting others to accept your ideas? What was your approach? Did it work?

27. Have you ever had to take over a leadership role unexpectedly? (Perhaps sudden illness of your boss.) How did it work out?

Observe how the individual met the change. Was the style of the predecessor adopted? Was the outcome successful?

28. How did the best manager you ever had motivate you to perform well? Why did that method work?

29. How do you persuade a person to take an action?

30. How important do you think money, responsibility, stimulating work and recognition are to motivation? Can you give an example of these different forces at work?

Look for an awareness that different motivators work for different people. Determine if the individual can give examples of how different motivators operate.

31. In a supervisory or group leader role, have you ever had to discipline or counsel an employee or group member? What was the nature of the discipline? What steps did you take? How did that make you feel? How did you prepare yourself?

32. In what types of situations do you think it is important for a manager to use democratic/participative techniques in making decisions?

Observe if the individual has awareness of participative management techniques. Consider the extent to which the individual can be flexible in using either authoritative or democratic approaches to decision making.

33. In your present job, tell me about a time when you had difficulty getting others to establish a common approach to a problem.

Establish if the individual planned a firm strategy for team building or simply used a "hip pocket" approach.

34. Sometimes it's essential that we break out of the routine, standardized way of doing things in order to complete the task. Give me an example from your experience when you were able to successfully develop such a new approach.

35. Tell me about a time when you had to convince a boss or someone in authority about your ideas. How did it work out?

36. Tell me about a time when you managed employees who were jointly resistant to management.

Does the individual have awareness of the forces which may cause employees as a group to resent and resist the directives of management? Did the individual side with employees or management? Was a realistic position taken?

37. Tell me about a time when your enthusiasm was able to motivate a team to finish a major project or job.

38. Tell me about the best boss you ever had. Now tell me about the worst boss. What made it tough to work for him or her?

39. There are times when just about everybody on the job becomes "up tight" because of the pressure. Can you tell me about such a situation and how you reacted?

40. There are times when we know that our boss is simply wrong and no one else is going to take the boss on. Can you tell me about such a time and what you did? How did it end up?

41. There are times when you have to be rather forceful in order to move a project ahead. Can you tell me about a time when you had to do that?

42. What are some things that motivate you? How have you used these motivators with others?

43. What do you think are the most important components of a practical leadership philosophy? Describe how you developed your philosophy.

This is a relatively abstract question, but it can be determined if the individual has, in the past, taken the time to consider the importance of managerial philosophy. If the individual can describe a well thought-out belief system, it might be inferred that a reasonable amount of attention has been given to development of a workable leadership style.

44. What does the phrase "two-way communications" mean to you? When have you successfully used two-way communications?

Is the individual aware of the fact that it is important to not only send information down to subordinates, but also up to management? Consider if the individual is able to relate the question to effective listening.

45. What has been your experience in giving presentations to small or large groups? What has been your most successful experience in speech making?

Observe the individual's level of experience in speech making and general oral communications.

46. What is your management style? How do you think your subordinates perceive you?

47. When have you felt that it was important to create graphs, charts, etc., for presentations?

Determine if the individual has had experience in oral and visual presentation. Observe if he/she is aware that visually communicated information can enhance the impact of spoken communications.

Determine the individual's self-awareness of what he/she considers motivating and rewarding. Observe if the individual has used these motivations or rewards to encourage others.

48. Which of your strengths contribute most to your leadership ability? Can you think of a time when, without that strength, you would have failed as a leader?

Determine whether the individual appreciates that there are different styles of leadership. Is there a match between leadership styles and personal strengths?

49. Who have you most respected for their leadership qualities? What were these specific qualities? Has there been a time when you tried to use this style?

Determine if the individual is aware that leadership qualities can be learned and used effectively. Was the style effectively used?

50. Who is the most motivating individual you know? What characteristics do you have that are similar? Dissimilar? Give me an example.

Does the behavioral example show strength in motivation of others?

Relationship Building

1. Describe a high morale group in which you have worked. Who was responsible for creating the motivation? What did they do?

Determine if the individual is aware of energizing/motivational techniques.

2. Discover if the individual has had experience with persuasion in difficult situations; evaluate effectiveness in changing the opinions of others; consider if the interviewee gave up too quickly or persisted too long.
3. Give me an example of how you have been successful at empowering either a person or a group of people in accomplishing a task.
4. Have you ever had difficulty getting others to accept your ideas? What was your approach? Did it work?

Describe a time when you had to sell an idea in difficult circumstances.

5. Have you ever worked for an extremely talkative manager? How did you ensure that you were communicating effectively with him/her?

Look for an indication that the interviewee will use verbal repetition or written memoranda to emphasize points.

6. How do you persuade a person to take an action?
7. Tell me about a time when a job had to be completed and you were able to simply focus your attention and get it done.
8. When have your subordinates kept you in the dark about their performance?

Determine if the individual is aware of the fact that he/she may have information hidden from him/her; evaluate the interviewee's awareness through a specific example of how subordinates can "cover up mistakes."

Networking

1. Describe a high morale group in which you have worked. Who was responsible for creating the motivation? What did they do?

Determine if the individual is aware of energizing/motivational techniques.

2. Describe a situation in which you had to collect information by asking many questions of several people.
3. Describe a situation when you were able to have a positive influence on the actions of others.
4. Give me an example of how you have been successful at empowering either a person or a group of people in accomplishing a task.
5. Have you ever had difficulty getting others to accept your ideas? What was your approach? Did it work?
6. How do you persuade a person to take an action?
7. Sometimes it's easy to get in "over your head." Describe a situation where you had to request help or assistance on a project or assignment.
8. Tell me about a time when you had to go above and beyond the call of duty in order to get a job done.
9. There are times when we work without close supervision and we must make sure the job gets done. Tell me about when you found yourself in such a situation. What happened?
10. What has been the most political work situation you have experienced? Explain how you dealt with it.

Determine if the individual became actively involved in organization politics, withdrew from the situation, or took an aggressive stance.

11. When have your subordinates kept you in the dark about their performance?

Determine if the individual is aware of the fact that he/she may have information hidden from him/her; evaluate the interviewee's awareness through a specific example of how subordinates can "cover up mistakes."

Personal Effectiveness

Questions for a Competency-Based Interview

Self-knowledge/Personal Awareness

1. All of us will feel shy or socially uncomfortable from time to time. When have you felt shy about communicating?...How did this influence your career?

Observe the extent to which the individual is willing to effectively speak up. Consider if the failure to communicate has created difficulties.

2. Almost everybody has been unfairly criticized on the job, either by a boss, a co-worker, or a subordinate. Please describe for me when you were in such a situation and how you handled it.
3. Almost everyone likes to be liked. But you can get into difficulties if you try too hard to be liked. Can you tell me about a time when this might have happened to you? How did you extricate yourself from the situation?
4. Briefly review the leadership experience you have had, giving examples that would show what your leadership style is like.
5. Consider if the individual uses an autocratic or persuasive leadership style; also determine if the individual can be influential without use of power, status or position. Consider the quality of past leadership accomplishments.
6. Compare and contrast the times when you did work which was above the standard with times your work was below the standard.
7. Do you find yourself to be the type of individual who is generally trusting of most people, or do you prefer to reserve that judgment until you get to know them well? Give an example that illustrates your tendency.

To what extent is the individual naïve or unaware concerning different motivations and abilities of others?

8. Give an example of when you had to work with someone who was difficult to get along with. Why was this person difficult? How did you handle that person?
9. How did the best manager you ever had motivate you to perform well? Why did that method work?
10. How would you describe your personality?
11. If I call your references, what will they say about you?

12. In terms of dollars and cents, what is the costliest mistake (or near mistake) you've ever made? How much could a poor decision on your part cost your employer?

Evaluate the extent to which the individual is sensitive to the costs of a poor decision; look for the ability to estimate a specific dollar amount associated with a decision-making error.

13. In what kinds of social situations do you "freeze up"? Provide an example.

Observe if the individual has difficulty in dealing with social situations. If the individual does describe social difficulties, determine if steps have been taken to improve interpersonal effectiveness.

14. Many jobs involve fairly close supervision. Describe an experience you have had working under such close supervision. How did you handle yourself and how well did you manage the job?

15. Some creative individuals require a stimulating environment to facilitate their productivity; other creative personalities seem to be productive regardless of their immediate work environment. How do you evaluate yourself on these issues?...Provide a specific example.

Evaluate if the individual is aware of the relationship of creative skills to the working environment. Determine if the individual's environmental needs match the conditions of the job under consideration.

16. Tell me about a work situation that irritated you.

17. What are some things that motivate you? How have you used these motivators with others?

Determine the individual's self-awareness of what he/she considers motivating and rewarding. Observe if the individual has used these motivations or rewards to encourage others.

18. What are two or three examples of tasks that you do not particularly enjoy doing? Indicate how you remain motivated to complete those tasks.

19. What have you done in the past to contribute toward a teamwork environment?

20. What is your management style? How do you think your subordinates perceive you?

21. What kind of environment would you like to work in?
22. What kinds of people would you rather not work with?
23. What kinds of responsibilities would you like to avoid in your next job?
24. What types of policies have you found to be personally distasteful? Did you conform? Why or why not?

Consider the extent to which an individual understands the role of policy in an organization; look for past history of failure to conform to policy.

25. What types of things make you angry? How do you react in these situations?

Determine if the interviewee has a quick temper ; discover if the individual can conceal hostile feelings to avoid creating social conflict.

26. When have you "tuned out" in a conversation?

Look for awareness of poor listening habits; determine if the individual can monitor his/her own inattentiveness in a conversation; determine if he/she has a specific strategy for improving his/her own listening effectiveness.

27. Which of your strengths contributes most to your leadership ability? Can you think of a time when, without that strength, you would have failed as a leader?

Determine whether the individual appreciates that there are different styles of leadership. Is there a match between leadership styles and personal strengths?

28. Who is the most motivating individual you know? What characteristics do you have that are similar? Dissimilar? Give me an example.

Does the behavioral example show strength in motivation of others?

29. Would you tell me about when you've had to handle high stress on a recent job? Tell me about the situation, the other people involved, what happened, and what you did to help handle the situation.

Ethics

1. Can you describe a situation in which you have found it important to "take a stand" even when the outcome would likely be to your own disadvantage?

Consider if the individual's willingness to assume a firm position is an indication of high integrity or inflexibility; did the situation he/she describe appear to be of sufficient importance to justify taking a firm position?

2. Discuss a time when your integrity was challenged. How did you handle it?
3. If you saw a co-worker doing something dishonest, would you tell your boss? What would you do about it?
4. In what business situations do you feel honesty would be inappropriate?
5. Many times employee's experience pressures to make a decision with which they disagree. Can you tell me of a situation like this that you have faced and how you handled it?

Discover how the individual has responded to group pressures or to pressures from superiors. In particular, look for evidence of "backbone" balanced with diplomacy.

6. Standing up for what you think is right can be an unpopular position to take. Tell me about a time when you had to do that. How did it turn out?
7. What would you do if someone asked you to do something unethical?
8. When did you first discover that not all people are honest? Give an example.

Observe if the individual describes a trait to being trusted or guarded in interpersonal relationships; if highly trusting, is there naivete, or if guarded, a lack of openness.

Interpersonal Understanding

1. Almost all work situations will require us to interact with some people we dislike. Describe a situation that you have encountered like this and explain how you handled it.
2. Almost everyone likes to be liked. But you can get into difficulties if you try too hard to be liked. Can you tell me about a time when this might have happened to you? How did you extricate yourself from the situation?
3. Are you good at figuring out what will motivate someone else? When were you able to do this?

Determine if their individual appreciates individual differences in motivators.

4. Being successful on the job depends upon having good relationships with others. Tell me about a time you were able to get a job done because you had such a relationship with another person.
5. By providing examples, show me that you can adapt to a wide variety of people, situations and environments.
6. Can you describe a relationship with a co-worker in which you were unsure of his/her feelings? How did you handle it?

Consider the individuals skill in discovering another's feelings while behaving in an interpersonally effective manner.

7. Can you describe an experience in which you had to go more than half way to communicate with a "problem person"?

Observe if the individual has had experience in dealing with problem personalities; observe the individuals reported level of effectiveness in relating to the difficult situations; did the individual resort to withdrawal or over-aggression in dealing with the problem?

8. Can you give me an example of when you came up with a clever way of motivating someone?

Determine the individual's ability to apply creativity to the problem of motivation.

9. Customers frequently create a great deal of pressure. What has been your experience in this area?

Evaluate the individual's depth and level of experience in coping with customer complaints and anger; evaluate if the individual was able to cope with such pressures over a significant period of time. Were his/her coping mechanisms effective?

10. Describe a "healthy" staff meeting that you have been in ...an "unhealthy" staff meeting.

Did the interviewee indicate he or she thought of staff meetings as time-wasters? Did the individual mention group discussion and participation as important characteristics of healthy meetings?

11. Describe a high morale group in which you have worked. Who was responsible for creating the motivation? What did they do?

Determine if the individual is aware of energizing/motivational techniques.

12. Describe a "problem person" you have had to deal with...What did you say?

Determine whether the individual could see the "problem person's" point of view. Did the individual encourage or discourage future communications? Was the method of dealing with the "problem person" effective and is that method likely to be effective in the job under consideration?

13. Describe a situation in which you observed controversy that existed between two members of higher management...How did the controversy affect you?...How did you react to it?

Determine if the individual was able to gauge his/her actions in light of the interpersonal environment. Was he/she able to be thorough in describing the events or behavior of others?

14. Describe a situation in which you tried to solve interpersonal problems of co-workers?

Observe if the individual is aware that problem solving techniques can be applied to interpersonal difficulties.

15. Describe a situation in which you were expected to work with an individual whom you personally disliked...How did you cope?

Discover if the individual has the commitment to do a job well, despite dislike for co-workers. Evaluate if results orientation is strong enough to overcome personal dislike.

16. Describe a situation where you found yourself dealing with someone who didn't like you. How did you handle it?

17. Describe how you delegate responsibility in your current job.

Delegation is defined as the assignment of tasks and responsibilities to subordinates and giving appropriate trust and freedom to the individual to work to completion of tasks. Did the example show a prudent use of delegation?

18. Describe how you have coordinated the work of employees you supervised who disliked one another.

Consider the individual's ability to serve as a mediator and establish common objectives for differing personalities.

19. Developing a positive relationship with a customer, either internal or external, is often critical for success. Can you give me an example of how you have been able to develop such a relationship with one of your customers and how you have used that relationship to help get the job done?

20. Do you find yourself to be the type of individual who is generally trusting of most people, or do you prefer to reserve that judgment until you get to know them well? Give an example that illustrates your tendency.

To what extent is the individual naïve or unaware concerning different motivations and abilities of others?

21. Every work group has times when people just seem down and need someone to "pep them up." Give me an example of when you have been the person who has been able to do that.

22. Give an example of when you had to work with someone who was difficult to get along with. Why was this person difficult? How did you handle that person?

23. Give me a specific example of when you had to motivate a group of people to get an important job done.

24. Give me an example of a time when you were able to successfully communicate with another person even when that individual may not have personally liked you (or vice versa).

25. Give me an example of how you have been successful at empowering either a person or a group of people in accomplishing a task.

26. Give me an example of when someone brought you a new idea, particularly one that was odd or unusual. What did you do?
27. Have you ever been in a situation where the other person, for some reason, had a negative opinion of you before you said a word? Respond to this situation?
Determine whether the individual was able to deliberately alter behavior to create a more positive impression. Was there an ability to overcome the negative impression?
28. Have you ever had to deal with an employee who broke policy? How did you handle it?
Determine if the individual is aware of the fact that policy must be consistently administered to all individuals; observe if the individual shows feelings of compassion for persons that policy seems to work against.
29. Have you ever had to resolve a conflict with a co-worker or client? How did you resolve it?
30. Have you ever had to tell a subordinate that his/her performance is not up to par? How did you handle it?
Did the individual obtain specific performance information prior to moving into a difficult performance communication? Did the individual discuss work behaviors rather than personality?
31. Have you ever had to work with subordinates or peers who differed substantially in their abilities, attitudes and personality characteristics?...If so, how did you react to this situation?
Consider if the individual took sides in personality conflicts; observe the extent to which the individual got the job done in spite of significant interpersonal differences; determine if the individual assumed a leadership role to get the job done.
32. Have you ever observed an employer demotivating employees? What do you think was the cause of the demotivation?
Observe if the individual is aware that certain actions/statements, though well intended, may actually demotivate employees. Can he/she describe a situation in which he/she did the opposite?
33. Have you ever studied "body language" as an important adjunct to your communicative abilities? When had this knowledge helped you?

Evaluate awareness of techniques of interpreting body language; determine if the individual is able to give specific examples concerning the use of body language.

34. How skillful do you think you are in sizing up people? Give an example.

Determine if the interviewee has a well thought-out approach for understanding people. Or is there naivete about individual differences?

35. If I call your references, what will they say about you?

36. In a supervisory or group leader role, have you ever had to discipline or counsel an employee or group member? What was the nature of the discipline? What steps did you take? How did that make you feel? How did you prepare yourself?

37. In negotiations, understanding the point of view of the other person often helps us develop a counter strategy. Would you give me an instance of when that was true for you?

38. In what types of situations do you think it is important for a manager to use democratic/participative techniques in making decisions?

Observe if the individual has awareness of participative management techniques. Consider the extent to which the individual can be flexible in using either authoritative or democratic approaches to decision making.

39. It can be difficult in a new situation to reach out to other people whom you do not know. Give me an example of how you coped with such a situation in the recent past.

40. It's often very important to be supportive of another person when he or she is trying to work through some serious problem. Would you tell me about a time when you have been able to do that?

41. It's very important to build good relationships at work, even with difficult people. Can you tell me about a time when you were able to build a successful relationship with a difficult person?

42. Looking at the practicalities of a situation often makes clear what must be done in that situation. Give me an example from your work experience that illustrates this.

Does the individual show concern for others along with concern for the task? Was the planning done systematically? Once a schedule has been made, will the individual make changes to accommodate people's needs?

43. Many people have the ability to "step into another's shoes." When has this skill been required of you?

Consider if the individual is able to provide a specific example of the use of empathy; consider if the individual was able to emotionally feel how the other person was feeling, or was simply logically understanding a particular situation.

44. Many times employee's experience pressures to make a decision with which they disagree. Can you tell me of a situation like this that you have faced and how you handled it?

Discover how the individual has responded to group pressures or to pressures from superiors. In particular, look for evidence of "backbone" balanced with diplomacy.

45. Problems occur in all work relationships. Would you describe a time when you had to cope with the resentment, anger or hostility of a subordinate or coworker?

46. Some people get to know strangers quickly, while others prefer to take their time letting people get to know them. Describe how you entered relationships when you were "new" on a job.

47. Talk about a situation where you had to deal with someone who was going behind your back.

48. Tell me about a situation in the past year in which you had to deal with a very upset customer or co-worker.

49. Tell me about a time when you became involved in a problem faced by a co-worker or subordinate...How did it work out?

Observe if the individual is more other or self-orientated in responding to stress situations. That is, does the individual seek self-solutions, or direct attention toward helping others solve problems?

50. Tell me about a time when you had a major disagreement with your boss and how you handled the situation.

51. Tell me about a time when you were able to be successful because you were not taken in by what some other people were telling you.

52. Tell me about the best boss you ever had. Now tell me about the worst boss. What made it tough to work for him or her?

53. Tell of the most difficult customer service experience that you have ever had to handle-perhaps an angry or irate customer. Be specific and tell what you did and what was the outcome.
54. There are really unscrupulous people out in the world and we have to be on guard against them. Can you tell me about a time at work when you were able to detect that sort of person and prevent the development of a serious problem?
55. Timing is something very important in communicating...Describe a situation when your timing was good...bad.

Evaluate the individual's level of appreciation for "timing" sensitive communications.

56. Understanding how other people think and feel is often important to getting the job done. Tell me about a time when your understanding of others had that effect.
57. Was there maturity in coping with individual differences? Evaluate the level of insight concerning the motivations and needs of others. Was there a modification of the individual's style to accommodate the disliked people?
58. What has been your biggest mistake in employee selection?... Do you now understand why the mistake was made?

Look for an ability to criticize, be alert to and/or profit from selection mistakes. Did the individual comment on how he/she had benefited from the experience?

59. What is the toughest decision you have had to make about a fellow employee?...How did you go about it?...What was the outcome?
- Evaluate the interviewee's ability to make a difficult decision; did the interviewee approach the decision in a rapid, speedy manner or was the decision-making postponed? What kind of values were emphasized-individual values such as forgiveness and understanding or organization values such as policy and competence?

60. What is the toughest decision you have had to make with regard to an employee that you personally liked?

Consider if the individual maintained the rights of the individual employee, while simultaneously seeing that the job was done well. Was sound judgement shown and an unbiased decision made?

61. What is the toughest group that you have had to get cooperation from?

62. What types of experiences have you had in dealing with irate customers?

Evaluate the individual's ability to effectively communicate in a conflict environment.

63. When a team work atmosphere exists, workers will frequently criticize each other in order to raise performance standards. Describe where you have seen this process take place.

Observe if the individual understands the meaning of the question. Is there acceptance of the idea that working peers can openly criticize one another without developing hostility?

64. When did you first discover that not all people are honest? Give an example.

Observe if the individual describes a trait to being trusted or guarded in interpersonal relationships; if highly trusting, is there naivete, or if guarded, a lack of openness.

65. When have you "tuned out" in a conversation?

Look for awareness of poor listening habits; determine if the individual can monitor his/her own inattentiveness in a conversation; determine if he/she has a specific strategy for improving his/her own listening effectiveness.

66. Who is the most demanding manager you have worked for?...What was his/her management style?

Look for ability to work with authority figures. Did the individual acquiesce to authority and thus reduce commitment to do the job well; did the acquiescence interfere with maintenance of high performance standards; or was there rebellion against an authority figure? Was there evidence of successful adaptation that resulted in superior performance?

Professionalism

1. All of us find ourselves in high-pressure or high-stress work situations when it is important to maintain an optimistic or positive outlook. Please tell me about such a situation in your work life.
2. Almost all work situations will require us to interact with some people we dislike. Describe a situation that you have encountered like this and explain how you handled it.
3. Almost everybody has been unfairly criticized on the job, either by a boss, a co-worker, or a subordinate. Please describe for me when you were in such a situation and how you handled it.
4. An old proverb says, "Silence is Golden". Describe a time in your life when you were proud of your ability to not speak out.

Determine if the individual is aware that it is sometimes better to remain silent.

5. As a manager, have you ever had to fire anyone? If so, how did you handle it?
6. Can you describe an experience in which you had to go more than half way to communicate with a "problem person"?

Observe if the individual has had experience in dealing with problem personalities; observe the individual's reported level of effectiveness in relating to the difficult situations; did the individual resort to withdrawal or over-aggression in dealing with the problem?

7. Can you tell me about some demanding situations in which you managed to remain cool?
8. Customers frequently create a great deal of pressure. What has been your experience in this area?

Evaluate the individual's depth and level of experience in coping with customer complaints and anger; evaluate if the individual was able to cope with such pressures over a significant period of time. Were his/her coping mechanisms effective?

Was there maturity in coping with individual differences? Evaluate the level of insight concerning the motivations and needs of others. Was there a modification of the individual's style to accommodate the disliked people?

9. Describe a recent unpopular decision you made and what the result was.
10. Describe a situation in which you changed your mind, even after you publicly committed to a particular idea.

Observe if the individual has changed on an important issue. Was the individual motivated to change his/her position because of new information or because of social pressures? Describe a situation in which you observed controversy that existed between two members of higher management...How did the controversy affect you?...How did you react to it?

11. Describe a situation in which you observed controversy that existed between two members of higher management...How did the controversy affect you?...How did you react to it?

Determine if the individual was able to gauge his/her actions in light of the interpersonal environment. Was he/she able to be thorough in describing the events or behavior of others?

12. Describe a situation in which you had a difficult (management) problem. How did you solve it?

13. Describe a situation in which one of your decisions was challenged by higher management...How did you react?

Observe if the individual was able to maturely re-emphasize the rationale for his/her decision, rather than acquiescing to authority.

14. Describe a situation in which you had to support the directives of higher management, even when you personally disagreed with them.

Consider if the individual can put his/her personal feelings aside in response to the direction of higher management. Does the individual look at higher management as being "they" who make mistakes, while preferring to side with the attitudes and opinions of subordinates.

15. Describe a time when it was necessary for you to postpone making a decision even when you felt frustrated in holding back.

Look for an ability to postpone action in the face of frustration.

16. Describe a time when you communicated some unpleasant feelings to a supervisor. What happened?

Consider if the individual felt comfortable in confronting the supervisor, or if he/she kept feelings to himself/herself. Was the communication hostile and aggressive or mature and assertive?

17. Describe a time when you were faced with problems or stresses at work that tested your coping skills. What did you do?

18. Describe a time when you were under pressure to make a decision. Did you react immediately or take your time in deciding what to do?

Consider if the individual is impulsive and reactive to pressure; or does he/she momentarily retreat to logically analyze and evaluate option; note that the reactive, quick coping style may be desirable in certain jobs, while the more analytic and slow style may be valuable in other types of positions.

19. Describe a time when “politics” at work affected your job. How did you deal with it?

20. Describe how you determined your priorities on your last job.

Did the individual define priorities in terms of a well-defined, long-range approach? Is there evidence for establishment of priorities on a daily basis?

21. Describe how you have coordinated the work of employees you supervised who disliked one another.

Consider the individual's ability to serve as a mediator and establish common objectives for differing personalities.

22. Developing a positive relationship with a customer, either internal or external, is often critical for success. Can you give me an example of how you have been able to develop such a relationship with one of your customers and how you have used that relationship to help get the job done?

23. Discuss a time when your integrity was challenged. How did you handle it?

24. Can you tell me about a time when you delayed responding to a situation until you had time to think it through, even though there was pressure on you to act quickly?

25. Can you tell me about a time when your carefully laid plans were fouled up? How did you react? What happened?

Is the individual a slave to his/her plans? What strategy was used to reformulate plans? Is the individual flexible in planning?

26. Give me a recent example of a situation you have faced when the "pressure was on"-What happened? How did you handle it?
27. Give me an example of a situation where there were time requirements or deadlines and other people were getting quite upset. How did you handle it?
28. Give me an example of a time when you had to keep from speaking or making a decision because you did not have enough information.
29. Give me an example of a time when you were able to successfully communicate with another person even when that individual may not have personally liked you (or vice versa).
30. Have you ever been in a situation where a project was returned for errors? What effect did this have on you?
31. Have you ever had to deal with an employee who broke policy? How did you handle it?

Determine if the individual is aware of the fact that policy must be consistently administered to all individuals; observe if the individual shows feelings of compassion for persons that policy seems to work against.

32. Have you ever had to handle a "sticky" decision for which no policy exists? What did you do?

Observe if the individual can describe a reasonable and mature rationale for dealing with a specific "people problem"; consider if the individual was aware of the potential negative outcome of a poor decision.

33. Have you ever had to resolve a conflict with a co-worker or client? How did you resolve it?
34. Have you ever worked in a situation in which you found higher management to be in conflict...if so, what did you do?

Look for personal maturity in getting a job done, while not taking sides on "personality" issues. Look for effective performance of responsibilities, in spite of higher level conflict.

35. Have you ever worked in an environment which was characterized by frequent crises or emergencies? Why did frequent crisis situations occur? How did you handle them?

Discover if the individual was aware of the causes of the crisis/emergency situations. Were measures taken that effectively dealt with the problem?

36. How do you react when you see co-workers disagreeing..? Do you get involved or hold back?

Evaluate if the individual can serve as a mediator in interpersonal conflict; consider if the individual is able to maintain a sense of calm when others are in disagreement.

37. If you could change one (managerial) decision you made during the past two years, what would that be?

38. In a supervisory or group leader role, have you ever had to discipline or counsel an employee or group member? What was the nature of the discipline? What steps did you take? How did that make you feel? How did you prepare yourself?

39. In these days of downsizing and other organizational changes, it's easy to begin to worry about the future. Can you tell me about a time when there was quite a bit of such concern at your job and how you felt about it?

40. In your present job, tell me about a time when you had difficulty getting others to establish a common approach to a problem.

Establish if the individual planned a firm strategy for team building or simply used a "hip pocket" approach.

41. It is often important to remain positive and "up beat" at work, even when you have other things on your mind. Give me a specific example of when you were able to do that successfully.

42. It's hard sometimes to get a new idea accepted by others. When have you had to do this?

Observe if the individual uses a well-defined strategy, which emphasizes benefits to the listener. How well does he/she communicate in the interview?

43. Many times employee's experience pressures to make a decision with which they disagree. Can you tell me of a situation like this that you have faced and how you handled it?

Discover how the individual has responded to group pressures or to pressures from superiors. In particular, look for evidence of "backbone" balanced with diplomacy.

44. Most of us experience a time when we are more controlled by our environment than by our own career plans...Have you faced such a situation?...How did you handle it?

Determine if the individual is alert to social or political forces in the working environment. Is he/she the type of individual who is alert to opportunity?

45. Most of us face situations from time to time which cause us to think that whatever we do will have a negative outcome...that is, we will look bad, regardless of what our actions may be. Describe your experiences in this type of situation and share with me how you went about deciding what to do.

Consider if the individual avoided making a decision at all in the face of conflict; determine the extent to which the individual was detailed and objective in evaluating a situation; did the individual overreact to the conflict involved, thus making the decision on a purely emotional, as opposed to rational, basis?

46. Please describe a time when your plans didn't work out. What did you do to recover?

47. Sometimes we find ourselves having to live with an unresolved situation on the job. Tell me about a time when this happened to you and how you managed it.

48. Sometimes we need to remain calm on the outside, even when we are really upset on the inside. Give me an example of a time when this happened to you.

49. Sometimes it's easy to get in "over your head". Describe a situation where you had to request help or assistance on a project or assignment.

50. Sooner or later everybody makes mistakes. What was the most significant mistake you made on your last job and explain why you made it ? What did you learn from it?

51. Talk about a situation where you had to deal with someone who was going behind your back.

52. Tell me about a situation in the past year in which you had to deal with a very upset customer or co-worker.

53. Tell me about a situation where you "blew it." How did you resolve or correct it to save face?

54. Tell me about a situation where you have had to "stand up" for a decision you made, even though it made you unpopular.

55. Tell me about a situation where you were able to remain detached from a serious emotional situation at work. What happened?

56. Tell me about a time when there was real danger involved, either to yourself or others. What was the situation and how did you handle both yourself and the others?

Determine whether the individual's stand resulted from stubbornness or commitment. Can the individual balance stubbornness or commitment with sufficient flexibility to work well in a team?

57. Tell me about a time when things were happening fast and furiously and you were able to keep your composure.

58. Tell me about a time when you were waiting for the results of an important decision (career, health, monetary, etc.). What did you say or do?

Try to determine if the individual remained calm or became anxious when waiting for information.

59. Tell me about a time when you had a major disagreement with your boss and how you handled the situation.

60. Tell me about a time when you had to convince a boss or someone in authority about your ideas. How did it work out?

61. Tell me about the best boss you ever had. Now tell me about the worst boss. What made it tough to work for him or her?

62. Tell me of a time when you had to work on a project that didn't work out the way it should have. What did you do?

63. Tell of a time when you worked with a colleague who was not completing their share of the work. Who, if anyone, did you tell or talk to about it? Did the manager take any steps to correct your colleague? Did you agree or disagree with the manager's actions?

64. There are many situations where there are many voices calling for attention. Tell me about a specific situation where that was the case and how you responded. How did it all turn out?

65. There are times when a person has to "bite his/her tongue" in dealing with an irate boss, coworker, or customer. Please tell me about a time when you were in such a situation and how you handled it.

66. There are times when just about everybody on the job becomes "up tight" because of the pressure. Can you tell me about such a situation and how you reacted?
67. There are times when people should hold their tongues, when they must not say more than they should. Give me an example of when you have done that. What were the consequences?
68. There frequently are times when we all are placed under extreme pressure on the job. Would you tell me about such a time when you were under such pressure and how you handled it?
69. There probably isn't a living person whose patience hasn't been taxed to the breaking point by a difficult coworker or customer. Would you give me an example of when your patience has been really taxed at work and how you handled that situation?
70. We sometimes find ourselves working in difficult circumstances. When have you found yourself in this situation? How did you handle yourself in this case?
71. What did you do in your last job or volunteer position to contribute toward a teamwork environment?
72. What do you think are the most important components of a practical leadership philosophy? Describe how you developed your philosophy.

This is a relatively abstract question, but it can be determined if the individual has, in the past, taken the time to consider the importance of managerial philosophy. If the individual can describe a well thought-out belief system, it might be inferred that a reasonable amount of attention has been given to development of a workable leadership style.

73. What does your past have to say about your ability to predict changes in the work environment? When have you been most surprised about a change?

Has the individual been alert to specific "clues" about changes in the work environment?

74. What has been the highest-pressure situation you have been under in recent years? How did you cope with it?

Consider the individual's effectiveness in coping with pressure without explosion, walking away from the job or psychologically "giving up".

75.What have been your experiences in making formal recommendations and oral reports to management?

Determine if the individual has experience in communicating with authority figures. Does his/her example suggest that he/she can communicate well in the job under consideration?

76.What have been your experiences in scheduling the work of others? What problems arose? How did you handle them?

77.What has been your experience in dealing with poor performance of subordinates? Give an example.

Did he/she make a distinction between private, as opposed to public discussion of errors? Did he/she lean toward termination or employee development as a means for dealing with problem employees?

78.What have been your experiences in dealing with the general public?...When have people really tried your patience?

Look for ability to assume a problem solving approach in the face of conflict. Determine if the individual has become overly aggressive or hostile.

79.What is the toughest decision you have had to make about fellow employee?...How did you go about it?...What was the outcome?

Evaluate the interviewee's ability to make a difficult decision; did the interviewee approach the decision in a rapid, speedy manner or was the decision-making postponed? What kind of values were emphasized-individual values such as forgiveness and understanding or organization values such as policy and competence?

80.What kinds of responsibilities would you like to avoid in your next job?

81.What steps have you taken when making a decision to terminate an employee?

Determine if information associated with performance was collected before or after the decision. Was the decision based on personality or politics and then justified with the facts? Or did the facts lead to the decision?

82.What types of experiences have you had in dealing with irate customers?

Evaluate the individual's ability to effectively communicate in a conflict environment.

83. What types of pressures do you currently feel on your own job? How do you cope with their pressures?

To what extent is the individual accustomed to working under pressure; does he/she maintain active involvement or retreat from the situation?

84. What types of things make you angry? How do you react in these situations?

Determine if the interviewee has a "quick temper"; discover if the individual can conceal hostile feelings to avoid creating social conflict.

85. What was the longest you ever had to wait for an important decision? How did the waiting affect you?

Observe how delays affected the individual. Did he/she develop ways of dealing with the frustrations associated with the delays?

86. When are you more formal or more informal as a manager? Describe a situation where you have had to adapt your style?

Did the individual express awareness of the utility of varying degrees of formality in differing situations? Did the response suggest an ability to be versatile.

87. When have you been told that you were too pushy/too nice? What did you do to be told that?

Determine whether the "pushiness" or "niceness" interfered with the job. Did the individual use that feedback to change his/her behavior? Did the individual agree with the description? Determine whether the individual is aware of how others perceive him/her.

88. When have you gotten your feelings hurt at work?

Look for a high level of interpersonal sensitivity, which could be a problem at work; determine if the individual is able to perform well despite rejection or conflict.

89. When is the last time you were criticized? How did you deal with it?

90. When was the last time you were yelled at while at work? How did you react?

Observe if the individual was able to control his/her temper; consider if the individual psychologically withdrew commitment from the job, after having faced a difficult interpersonal situation.

91. You're on the phone with another department resolving a problem. The intercom pages you for a customer on hold. Your manager returns your monthly report with red pen markings and demands corrections within the hour. What do you do next?

Flexibility/Adaptability

1. Are you the type of person who likes to "try new things," or "stay with regular routines"? Give an example.

Does the individual have an adventurous spirit which will encourage exploration of new approaches to solving old problems? Consider if the interviewee has adapted or conformed to the ideas of others

2. By providing examples, show me that you can adapt to a wide variety of people, situations and environments.
3. Can you describe a time when you stuck with a goal you'd set even though now, in retrospect, it was an obvious mistake? In other words, did commitment to a goal ever prevent you from being as flexible as you should have been?

Can the individual commit to a goal and still maintain flexibility? Can the person evaluate past performance in a broader perspective than simple goal attainment or non-attainment? Is the person capable of questioning the value of a goal?

4. Can you tell me about a time when your carefully laid plans were fouled up? How did you react? What happened?

Is the individual a slave to his/her plans? What strategy was used to reformulate plans? Is the individual flexible in planning?

5. Give me an example of when someone brought you a new idea, particularly one that was odd or unusual. What did you do?
6. Have you ever had to handle a "sticky" decision for which no policy exists? What did you do?

Observe if the individual can describe a reasonable and mature rationale for dealing with a specific "people problem"; consider if the individual was aware of the potential negative outcome of a poor decision.

7. Have you ever worked in an environment which was characterized by frequent crises or emergencies? Why did frequent crisis situations occur? How did you handle them?

Discover if the individual was aware of the causes of the crisis/emergency situations. Were measures taken that effectively deal with the problem?

8. Have you found a relationship between maintaining effective job descriptions and development of a sound team work atmosphere? Describe a situation where that relationship was evident.

Were teamwork activities equated with sound knowledge of how one's job relates to the jobs of others? Did the individual assume that job descriptions alone would build a sound team?

9. Have you found it necessary to perform jobs, which do not match well with your interests and abilities?...Be specific.

To what extent was the individual able to flexibly alter personal desires and interests in order to get a job done? Discover if the individual was able to do a job well, even if it was distasteful.

10. Have you worked in a situation in which there were constant surprises or unanticipated events coming to your attention? How did you deal with them?

Consider the extent to which the individual developed plans and strategies so that surprises will not reoccur in the future. Was there an awareness that constant emergencies are a sign of poor organization?

11. How did you organize your work in your last position? What happened to your plan when emergencies come up?

Observe if the individual is aware of the importance of having a specific time for planning and organization. Was time given to establishing work procedures? Did the plan effectively deal with emergencies?

12. In these days of downsizing and other organizational changes, it's easy to begin to worry about the future. Can you tell me about a time when there was quite a bit of such concern at your job and how you felt about it?

13. In working with people, we find that what works with one person does not work with another. Therefore, we have to be flexible in our style of relation to others. Can you give me a specific example of when you had to vary your style with a particular individual? How did it work out?

14. Is there anything that you feel is non-negotiable? If so, tell me about a time when that belief made people see you as inflexible or opinionated.

Did the individual describe a strong point or their character which would not allow for compromise? Observe if the individual gave examples of a failure to compromise, which would suggest difficulty in relating to others.

15. Most of us experience a time when we are more controlled by our environment than by our own career plans...Have you faced such a situation?...How did you handle it?

Determine if the individual is alert to social or political forces in the working environment. Is he/she the type of individual who is alert to opportunity?

16. Some people are said to have the ability to "roll with the punches." Describe a situation where you demonstrated this type of skill in working with people. Be specific.

Look for evidence of accommodation in lifestyles, habit patterns, or preferences to meet the needs or demands of another person or situation. Observe if the individual provides a relatively significant or insignificant example.

17. Tell me your experience in your last job of "changing horses in mid -stream" (meaning frequent changing of tasks, priorities, and missions).

Determine if the individual can provide a specific example of juggling several tasks at once. Can the individual demonstrate flexible work habits in response to a rapidly changing environment?

18. Tell me about a situation where you abruptly had to change what you were doing.

19. Tell me about a time when you had to step out of the tried-and-true and find a new way to achieve your goals.

20. Tell me of a time when you had to work on a project that didn't work out the way it should have. What did you do?

21. Tell of some situations in which you have had to adjust quickly to changes over which you had no control. What was the impact of the change on you?

22. What do you do when your schedule is suddenly interrupted? Give an example.

23. When are you more formal or more informal as a manager? Describe a situation where you have had to adapt your style?

Did the individual express awareness of the utility of varying degrees of formality in differing situations? Did the response suggest an ability to be versatile?

24. Would you say that you are the type of individual who can "roll with the punches" or one who draws a "hard and fast line" in coping with a changing environment?

Determine if the individual's self-concept emphasizes getting his/her own way, or if there is pride in flexibility relating to others.

Teamwork

1. Almost all work situations will require us to interact with some people we dislike. Describe a situation that you have encountered like this and explain how you handled it.

Was there maturity in coping with individual differences? Evaluate the level of insight concerning the motivations and needs of others. Was there a modification of the individual's style to accommodate the disliked people?

2. Are you good at figuring out what will motivate someone else? When were you able to do this?

Determine if their individual appreciates individual differences in motivators.

3. Being successful on the job depends upon having good relationships with others. Tell me about a time you were able to get a job done because you had such a relationship with another person.
4. Briefly review the leadership experience you have had, giving examples that would show what your leadership style is like.
5. By providing examples, show me that you can adapt to a wide variety of people, situations and environments.
6. Describe a "healthy" staff meeting that you have been in ...an "unhealthy" staff meeting.

Did the interviewee indicate he or she thought of staff meetings as time-wasters? Did the individual mention group discussion and participation as important characteristics of healthy meetings?

7. Describe a high morale group in which you have worked. Who was responsible for creating the motivation? What did they do?

Determine if the individual is aware of energizing/motivational techniques.

8. Describe a situation when you were able to have a positive influence on the actions of others.
9. Describe a situation where others you were working with on a project disagreed with your ideas. What did you do?
10. Describe a situation in which you had to arrive at a compromise or guide others to a compromise.

11. Describe a situation in which you had to collect information by asking many questions of several people.
12. Describe a situation in which you tried to solve interpersonal problems of co-workers?

Observe if the individual is aware that problem solving techniques can be applied to interpersonal difficulties.

13. Describe a team project in which you demonstrated your ability to interact with team-members and your contribution to the project.
14. Describe an experience in your background where you saw the working environment or management style weaken the teamwork attitude. What did you do?

Did the individual describe a situation where teamwork attitude was inhibited? If possible, was meaningful action taken to solve the problem?

15. Describe how you have coordinated the work of employees you supervised who disliked one another.

Consider the individual's ability to serve as a mediator and establish common objectives for differing personalities.

16. Describe how you delegate responsibility in your current job.

17. Delegation is defined as the assignment of tasks and responsibilities to subordinates and giving appropriate trust and freedom to the individual to work to completion of tasks. Did the example show a prudent use of delegation?

18. Do you find yourself to be the type of individual who is generally trusting of most people, or do you prefer to reserve that judgment until you get to know them well? Give an example that illustrates your tendency.

To what extent is the individual naïve or unaware concerning different motivations and abilities of others?

19. Every work group has times when people just seem down and need someone to "pep them up." Give me an example of when you have been the person who has been able to do that.

20. Give a brief summary of the leadership situations which you have held. What was your major success and major failure as a leader?

21. Consider level of experience, including breadth or variety of leadership situations, and depth or level of responsibility in leadership; evaluate the level of effectiveness in these experiences.

22. Give a specific example of a time when you motivated co-workers.

Determine if the individual is aware of the need to be able to motivate others; does he/she have specific ideas on the topics?

23. Give an example of a situation in which you developed a high-morale working group.

Did the individual define a high-morale group in terms of strong group coalescence and high standards of performance? Did the interviewee emphasize both task and people orientation in gaining high morale?

24. Give me a specific example of when you had to motivate a group of people to get an important job done.

25. Give me an example of a situation where there were time requirements or deadlines and other people were getting quite upset. How did you handle it?

26. Give me an example of a time when you had high morale on the job. What caused it? How did you contribute to the morale of others?

Observe if the individual can describe the causes of positive morale. Did he/she take an active role in spreading positive feelings at work?

27. Give me an example of how you have been successful at empowering either a person or a group of people in accomplishing a task.

28. Give me an example of when you had to show good leadership.

29. Give me an example of when you simply had to use your authority to get something done. What were the consequences?

30. Give me an example of when someone brought you a new idea, particularly one that was odd or unusual. What did you do?

31. Give me an example of a problem you faced on the job, and tell me how you solved it.

32. Has anyone ever described you as a "tiger" or a "go-getter"? What were the circumstances?

Do others perceive the individual as assertive or aggressive? Does the individual take pride in such descriptions?

33. Have you ever had to "sell" an idea to your co-workers or group? How did you do it? Did they "buy" it?

34. Have you ever had to take over a leadership role unexpectedly? (Perhaps sudden illness of your boss.) How did it work out?

Observe how the individual met the change. Was the style of the predecessor adopted? Was the outcome successful?

35. How do you persuade a person to take an action?

36. How do you react when you see co-workers disagreeing..? Do you get involved or hold back?

Evaluate if the individual can serve as a mediator in interpersonal conflict; consider if the individual is able to maintain a sense of calm when others are in disagreement.

37. How have you worked as a member of teams in the past?

38. How important do you think money, responsibility, stimulating work and recognition are to motivation? Can you give an example of these different forces at work?

Look for an awareness that different motivators work for different people. Determine if the individual can give examples of how different motivators operate.

39. How was your transition from high school to college? Did you face any particular problems?

40. In what types of situations do you think it is important for a manager to use democratic/participative techniques in making decisions?

Observe if the individual has awareness of participative management techniques. Consider the extent to which the individual can be flexible in using either authoritative or democratic approaches to decision making.

41. In your present job, tell me about a time when you had difficulty getting others to establish a common approach to a problem.

Establish if the individual planned a firm strategy for team building or simply used a "hip pocket" approach.

42. It's hard sometimes to get a new idea accepted by others. When have you had to do this?

Observe if the individual uses a well-defined strategy, which emphasizes benefits to the listener. How well does he/she communicate in the interview?

43. Looking at the practicalities of a situation often makes clear what must be done in that situation. Give me an example from your work experience that illustrates this.

Does the individual show concern for others along with concern for the task? Was the planning done systematically? Once a schedule has been made, will the individual make changes to accommodate people's needs?

44. Please relate a specific instance when you found it necessary to be quite exact in your standards in order to do a job. How did you handle that situation?

45. Some managers say that "warning letters" are a waste of time...Have you ever written or received such letters? Did you feel they were effective?

Evaluate the individual's experience in writing and using warning letters; consider if he/she appreciates the fact that a warning letter is a part of a company's policy on discipline.

46. Sometimes it's easy to get in "over your head". Describe a situation where you had to request help or assistance on a project or assignment.

46. Talk about a situation where you had to deal with someone who was going behind your back.

47. Tell me about a situation in the past year in which you had to deal with a very upset customer or co-worker.

48. Tell me about a situation where you have had to "stand up" for a decision you made, even though it made you unpopular.

Determine whether the individual's stand resulted from stubbornness or commitment. Can the individual balance stubbornness or commitment with sufficient flexibility to work well in a team?

49. Tell me about a time when your enthusiasm was able to motivate a team to finish a major project or job.

50. Tell me about a time when you managed employees who were jointly resistant to management.

Does the individual have awareness of the forces which may cause employees as a group to resent and resist the directives of management? Did the individual side with employees or management? Was a realistic position taken?

51. Tell me about a time when you were the one to confront a difficult situation or person, a time when others who should have spoken up were hanging back.

52. Tell me about some of the groups you've had to seek cooperation from. What did you do?

53. Tell of a time when you worked with a colleague who was not completing their share of the work. Who, if anyone, did you tell or talk to about it? Did the manager take any steps to correct your colleague? Did you agree or disagree with the manager's actions?

54. There are situations when it takes a "leap of faith" to trust another person. Give me an example of when you had to take such a "leap". What was the situation and how did it turn out?

55. There are times when people just "need a hand". Can you give me an example of when you were able to provide that hand to a person with whom you worked?

56. There are times when you have to be rather forceful in order to move a project ahead. Can you tell me about a time when you had to do that?

57. There probably isn't a living person whose patience hasn't been taxed to the breaking point by a difficult coworker or customer. Would you give me an example of when your patience has been really taxed at work and how you handled that situation?

58. What did you do in your last job or volunteer position to contribute toward a teamwork environment?

59. What do you think are the most important components of a practical leadership philosophy? Describe how you developed your philosophy.

This is a relatively abstract question, but it can be determined if the individual has, in the past, taken the time to consider the importance of managerial philosophy. If the individual can describe a well thought-out belief system, it might be inferred that a reasonable amount of attention has been given to development of a workable leadership style.

60.What does the phrase "two-way communications" mean to you? When have you successfully used two-way communications?

Is the individual aware of the fact that it is important to not only send information down to subordinates, but also up to management? Consider if the individual is able to relate the question to effective listening.

61.What has been your experience in dealing with poor performance of subordinates? Give an example.

Did he/she make a distinction between private, as opposed to public discussion of errors? Did he/she lean toward termination or employee development as a means for dealing with problem employees?

62.What have you done in the past to contribute toward a teamwork environment?

63.What is the toughest group that you have had to get cooperation from?

64.What is the toughest decision you have had to make about a fellow employee?...How did you go about it?...What was the outcome?

Evaluate the interviewee's ability to make a difficult decision; did the interviewee approach the decision in a rapid, speedy manner or was the decision-making postponed? What kind of values were emphasized-individual values such as forgiveness and understanding or organization values such as policy and competence?

65.What is the toughest decision you have had to make with regard to an employee that you personally liked?

Consider if the individual maintained the rights of the individual employee, while simultaneously seeing that the job was done well. Was sound judgement shown and an unbiased decision made?

66.What things created excitement and cohesion in your current (last) work group?

Determine if the individual can list specifics about work group togetherness and motivation.

67.When a team work atmosphere exists, workers will frequently criticize each other in order to raise performance standards. Describe where you have seen this process take place.

Observe if the individual understands the meaning of the question. Is there acceptance of the idea that working peers can openly criticize one another without developing hostility?

68. When have your subordinates kept you in the dark about their performance?

Determine if the individual is aware of the fact that he/she may have information hidden from him/her; evaluate the interviewee's awareness through a specific example of how subordinates can "cover up mistakes."

69. Who is the most motivating individual you know? What characteristics do you have that are similar? Dissimilar? Give me an example.

Does the behavioral example show strength in motivation of others

Thinking and Problem-Solving Questions for a Competency-Based Interview

Analytical Thinking

1. Could you describe a time when your concern about how things might turn out prevented the company from experiencing a serious problem.
2. Describe a "healthy" staff meeting that you have been in ...an "unhealthy" staff meeting.

Did the interviewee indicate he or she thought of staff meetings as time-wasters? Did the individual mention group discussion and participation as important characteristics of healthy meetings?

3. Describe a major work problem which you have faced and describe your method of dealing with it.

Determine if a systematic approach was used in problem solving; look for fact finding, causal analysis, evaluation of alternate solutions, goal setting and implementation.

4. Describe a situation in which you found yourself to be an analytical and thorough decision-maker.

Did the individual have difficulty in pinpointing an example concerning personal decision-making style? Observe if the interviewee is analytical in responding to this particular question.

5. Describe a situation in which you had a difficult (management) problem. How did you solve it?

6. Describe a situation in which you had to collect information by asking many questions of several people.

7. Describe a situation in which you needed to make a decision even though you did not have all of the important information.

Determine specific awareness of the importance of facts in decision, even when all facts are not available.

8. Describe a situation in which you tried to solve interpersonal problems of co-workers?

Observe if the individual is aware that problem solving techniques can be applied to interpersonal difficulties.

9. Describe a technical or personnel problem, which you solved on your last job that would shed light on your analytical ability.

Determine if the individual can describe a specific problem that was solved; observe if he/she can describe the key elements of the problem and/or the logic of the solution.

10. Describe a time in school when you had many projects or assignments due at the same time. What steps did you take to get them all done?

11. Describe how you determined your priorities on your last job.

Did the individual define priorities in terms of a well-defined, long-range approach? Is there evidence for establishment of priorities on a daily basis?

12. Describe the most risky business decision you have made...How did you go about it?...How did it work out?

Determine if the individual is aware of risks involved in decision making; consider if the interviewee is willing to make decisions in a risky environment or if the approach is more cautious.

Does the individual appreciate the value of planning ahead and anticipating problems? Do long-range plans have sufficient flexibility to allow for unanticipated events? How specific are the plans? Are they realistic?

13. Describe the steps you've taken to stay familiar with problem areas on your current jobs.

Evaluate the extent to which the individual uses objective data or informal reports from colleagues, co-workers or higher management.

14. Developing and using a detailed record-keeping system is often very important in a job. Tell me about a time when you needed to develop and use such a system.

15. Do you do personal planning?...If yes, what are your goals?

Observe if the individual is planful and organized apart from the work environment; consider if planning and organization are natural aspects of this individual's personality.

16. Do you set short-term as well as long-term goals? Which kind takes priority? (e.g. will you sacrifice short-term goals like a vacation for long-term goals, like buying a house?)

Does the job require more emphasis on short-term or long-term goals? Is the individual's orientation in line with the job's priorities?

17. Do you tend to set goals that are easily attainable or ones that are difficult to reach? Tell me about a goal you set that was realistically too easy (or too difficult). What did you learn from the experience?

Are reasonable goals set? Has the individual used feedback to recalibrate goal setting? What sort of information is used to establish goals? Is goal setting a "gut" level function or is it data based?

18. Do you think everyone has the capacity to be creative? What experiences led you to your conclusions?

Determine whether the individual has a "theory" of creativity. Is it seen as a gift or as something that can be developed? In the position under consideration, will the individual expect creativity only from certain employees?

19. Doing things right often means following traditional patterns, even if some of them seem old fashioned. Tell me about a work situation that illustrates this for you.

20. Evaluate your past employer in terms of emphasis on goal setting and planning.

Can the individual give specific examples of failure in planning?...Or was the description of a specific planning process, including annual goal setting or management by objectives?

21. Getting the job done sometimes requires a consistent, predictable approach. Give me an example of a time when you developed and implemented such a plan. How did it turn out?

22. Give an example of a "common-sense" solution that you developed to an important work problem.

23. Give an example of a time in which you had to use your fact-finding skills to gain information for solving a problem. Tell me how you analyzed the information to come to a decision.

24. Give me an example of a problem you faced on the job, and tell me how you solved it.
25. Give me an illustration of when you were able to use your planning skills to solve a business problem.
26. Has there been a time when you improved a process? What was it? How did you go about making changes (step by step)?
27. Have you ever been in a situation where a project was returned for errors? What effect did this have on you?
28. Have you ever been responsible for the creation of forms, checklist, workflow procedures, etc.? How did others evaluate your work?
Evaluate the individual's background and experience with written, structured communication formats.
29. Have you ever had to handle a "sticky" decision for which no policy exists? What did you do?
Observe if the individual can describe a reasonable and mature rationale for dealing with a specific "people problem"; consider if the individual was aware of the potential negative outcome of a poor decision.
30. Have you ever held a job in which you had the freedom to write your own job description? If so, how did you structure your work?
Consider the individual's ability to flexibly define tasks and responsibilities in the absence of direction from management.
31. Have you ever introduced a new idea? Can you describe what it covered, the steps you took to implement it and why you saw the need to introduce it?
32. Have you ever studied how your time is spent on the job? If so, what were the results?
Look for awareness of the importance of time management. To what extent did the individual develop an organized process for using the time study results?
33. Have you ever worked in an environment that was characterized by frequent crises or emergencies? Why did frequent crisis situations occur? How did you handle them?

Discover if the individual was aware of the causes of the crisis/emergency situations. Were measures taken that effectively dealt with the problem?

34. Have you worked in a situation in which there were constant surprises or unanticipated events coming to your attention? How did you deal with them? Consider the extent to which the individual developed plans and strategies so that surprises will not reoccur in the future. Was there an awareness that constant emergencies are a sign of poor organization?

35. How did you organize your work in your last position? What happened to your plan when emergencies came up?

Observe if the individual is aware of the importance of having a specific time for planning and organization. Was time given to establishing work procedures? Did the plan effectively deal with emergencies?

36. How do you determine priorities in scheduling your time? Give examples.

37. How far ahead do you plan? Can you tell me about a time when planning ahead (or not planning ahead) benefited you (or hurt you)?

38. How have you approached goal setting? Do you have a specific process which you use? Describe how you set a specific goal.

Discover if the individual actively uses tools such as management by objectives or personal work planners. Also, determine if the individual has a specific time which is used for goal setting.

39. In terms of dollars and cents, what is the costliest mistake (or near mistake) you've ever made? How much could a poor decision on your part cost your employer?

Evaluate the extent to which the individual is sensitive to the costs of a poor decision; look for the ability to estimate a specific dollar amount associated with a decision-making error.

40. Looking at the practicalities of a situation often makes clear what must be done in that situation. Give me an example from your work experience that illustrates this.

Does the individual show concern for others along with concern for the task? Was the planning done systematically? Once a schedule has been made, will the individual make changes to accommodate people's needs?

41. Many times employees experience pressures to make a decision with which they disagree. Can you tell me of a situation like this that you have faced and how you handled it?

Discover how the individual has responded to group pressures or to pressures from superiors. In particular, look for evidence of backbone balanced with diplomacy.

42. On some jobs there are opportunities to save the organization money by choosing a less expensive course of action or less expensive material. Can you give me an example of how you might have done this?

43. Policy concerning pay can at times be unfair...How have you seen this situation in your past...How would you have solved the problem?

Observe if the individual is sensitive to policy/pay conflicts; determine if the individual has a feasible solution.

44. Recall a time from your work experience when your manager or supervisor was unavailable and a problem arose. What was the nature of the problem? How did you handle that situation? How did that make you feel?

45. Recall a time when you were assigned what you considered to be a complex project. Specifically, what steps did you take to prepare for and finish the project? Were you happy with the outcome? What one step would you have done differently if given the chance?

46. Sometimes it's easy to get in "over your head." Describe a situation where you had to request help or assistance on a project or assignment.

47. Sometimes it's essential that we break out of the routine, standardized way of doing things in order to complete the task. Give me an example from your experience when you were able to successfully develop such a new approach.

48. Tell me about a job in which there was a great deal of paperwork that you were required to complete. What specific things did you do to ensure your accuracy?

49. Tell me about a situation where you abruptly had to change what you were doing.

50. Tell me about a time when you had to step out of the tried-and-true and find a new way to achieve your goals.

51. Tell me about how you typically schedule your day. To what extent do you use some kind of time management system and to what extent do you simply wait to see what turns up?
52. Tell me about the biggest career decision you have had to make. How did you come to your decision?
- Observe if the individual was analytical and thoughtful, or speedy and impulsive in coming to a decision.
53. Tell me of a time when you had to work on a project that didn't work out the way it should have. What did you do?
54. There are many jobs or parts of jobs that involve a continuous routine. Tell me about your experience with that kind of work and how you managed both yourself and the job.
55. There are many jobs that simply do not require much thinking. Give me an example of when you had such a job and how you managed to handle it.
56. There are times when we work without close supervision and we must make sure the job gets done. Tell me about when you found yourself in such a situation. What happened?
57. There's an expression, "There's more than one way to skin a cat." Can you give me an example from your work experience that would illustrate that saying?
58. We can sometimes identify a small problem and fix it before it becomes a major problem. Give an example(s) of how you have done this.
59. What are your short-term or long-term career goals?
60. What have been your experiences in scheduling the work of others? What problems arose? How did you handle them?
61. What important goals have you set in the past, and how successful have you been in working toward their accomplishment?
- Look for specific goals. Were the goals specific and realistic enough to serve as a motivating influence?
61. What is the most difficult decision you've had to make? How did you arrive at your decision?

62. What is your procedure in keeping track of matters that require your constant attention? When has your system broken down?

63. What steps do you follow to study a problem before making a decision?

64. What steps have you taken when making a decision to terminate an employee?

Determine if information associated with performance was collected before or after the decision. Was the decision based on personality or politics and then justified with the facts? Or did the facts lead to the decision?

65. What type of approach to solving work problems seems to work best for you? Give me an example of when you solved a tough problem.

66. What was a routine problem that you had to deal with on your last job? What procedures did your boss expect you to use in dealing with the problem. What procedures did you create?

Determine if the individual was aware of and used a standard procedure for dealing with regular problems. If no policy/procedure was set, did he/she create one?

67. When taking on a new task, do you like to have a great deal of feedback and responsibility at the outset, or do you like to try your own approach?

68. Would you describe yourself as being more logical or intuitive in solving problems? Give me an example that shows your style.

If the individual is logical in forming an opinion, will decisions be cold and hard? If the individual is intuitive, will decisions be soft and indecisive? What is important in the job under consideration?

69. You're on the phone with another department resolving a problem. The intercom pages you for a customer on hold. Your manager returns your monthly report with red pen markings and demands corrections within the hour. What do you do next?

Creativity/Problem-Solving

1. Describe a major work problem which you have faced and describe your method of dealing with it

Determine if a systematic approach was used in problem solving; look for fact finding, causal analysis, evaluation of alternate solutions, goal setting and implementation.

2. Describe a situation in which you had a difficult (management) problem. How did you solve it?
3. Describe the most significant or creative presentation, which you have had to complete.
4. Do you think everyone has the capacity to be creative? What experiences led you to your conclusions?

Determine whether the individual has a "theory" of creativity. Is it seen as a gift or as something that can be developed? In the position under consideration, will the individual expect creativity only from certain employees?

5. Give me an example of a problem you faced on the job, and tell me how you solved it.
6. Give me an example of when someone brought you a new idea, particularly one that was odd or unusual. What did you do?
7. Give me an example when your creativity helped your company in solving a problem.
8. Has there been a time when you improved a process? What was it? How did you go about making changes (step by step)?
9. Have you ever had to handle a "sticky" decision for which no policy exists? What did you do?

Observe if the individual can describe a reasonable and mature rationale for dealing with a specific "people problem"; consider if the individual was aware of the potential negative outcome of a poor decision.

10. Have you ever had to resolve a conflict with a co-worker or client? How did you resolve it?

11. Have you ever introduced a new idea? Can you describe what it covered, the steps you took to implement it and why you saw the need to introduce it?
12. Have you ever worked in a situation where there were continual changes in company operating policies and procedures? How did you react to the changes? What was it like?

Consider the individual's incorporation of changes into his/her own operating system. To what extent did the individual conform to the changes?

13. Have you ever worked in an environment which was characterized by frequent crises or emergencies? Why did frequent crisis situations occur? How did you handle them?

Discover if the individual was aware of the causes of the crisis/emergency situations. Were measures taken that effectively dealt with the problem?

14. How did you organize your work in your last position? What happened to your plan when emergencies came up?

Observe if the individual is aware of the importance of having a specific time for planning and organization. Was time given to establishing work procedures? Did the plan effectively deal with emergencies?

15. Imagination is often required to create a new product or a new approach to things. Is there a time when you were able to use your imagination in that way? Tell me about how it worked out.

16. Many times employees experience pressures to make a decision with which they disagree. Can you tell me of a situation like this that you have faced and how you handled it?

Discover how the individual has responded to group pressures or to pressures from superiors. In particular, look for evidence of "backbone" balanced with diplomacy.

17. Policy concerning pay can at times be unfair...How have you seen this situation in your past...How would you have solved the problem?

Observe if the individual is sensitive to policy/pay conflicts; determine if the individual has a feasible solution.

18. Recall a time from your work experience when your manager or supervisor was unavailable and a problem arose. What was the nature of the problem? How did you handle that situation? How did that make you feel?

19. Recall a time when you were assigned what you considered to be a complex project. Specifically, what steps did you take to prepare for and finish the project? Were you happy with the outcome? What one step would you have done differently if given the chance?
20. Seeing a new way of doing the job can often lead to greater productivity. Give me an example of when you were able to see and implement such a new way of getting the job done.
21. Some creative individuals require a stimulating environment to facilitate their productivity; other creative personalities seem to be productive regardless of their immediate work environment. How do you evaluate yourself on these issues? Provide a specific example.
- Evaluate if the individual is aware of the relationship of creative skills to the working environment. Determine if the individual's environmental needs match the conditions of the job under consideration.
22. Some problems require developing a unique or different approach. Can you tell me about a time when you were able to develop such a different problem-solving approach? How did it work out?
23. Sometimes it's essential that we break out of the routine, standardized way of doing things in order to complete the task. Give me an example from your experience when you were able to successfully develop such a new approach.
24. Sometimes we find ourselves having to live with an unresolved situation on the job. Tell me about a time when this happened to you and how you managed it.
25. Sooner or later everybody makes mistakes. What was the most significant mistake you made on your last job and explain why you made it? What did you learn from it?
26. Tell me about a situation where you abruptly had to change what you were doing.
27. Tell me about a time when you had to step out of the tried-and-true and find a new way to achieve your goals.
28. Tell me of a time when you had to work on a project that didn't work out the way it should have. What did you do?

29. There are many jobs in which well-established methods must be followed to do the job. Give me a specific example of a time when you tried some other method to do the job.
30. There are many jobs or parts of jobs that involve a continuous routine. Tell me about your experience with that kind of work and how you managed both yourself and the job.
31. There are many jobs that simply do not require much thinking. Give me an example of when you had such a job and how you managed to handle it.
32. There's an expression, "There's more than one way to skin a cat." Can you give me an example from your work experience that would illustrate that saying?
33. We can sometimes identify a small problem and fix it before it becomes a major problem. Give an example(s) of how you have done this.
34. What have you done that was innovative?
35. What steps do you follow to study a problem before making a decision?
36. What type of approach to solving work problems seems to work best for you? Give me an example of when you solved a tough problem.
37. What was a routine problem that you had to deal with on your last job? What procedures did your boss expect you to use in dealing with the problem. What procedures did you create?
Determine if the individual was aware of and used a standard procedure for dealing with regular problems. If no policy/procedure was set, did he/she create one?
38. What was the wildest idea you had in the past year? What did you do about it?
39. What would you observe to be the most creative bit of work done in your field in the last few years? How has the work impacted on you?
Observe if the individual can describe creative work. Also, determine if the individual's creative appreciation impacted on personal self-development?
40. What would you regard as being the most creative activity you have engaged in? Did it bring you recognition, financial reward, or personal satisfaction?

Evaluate if the individual can be specific with regard to a creative accomplishment. Observe if the focus of elaboration in discussing the accomplishment is associated with the creative act itself or with results of the act.

41. What would you say was the most creative accomplishment in your last position? Be specific.

Determine if the individual can explain a creative accomplishment in a prior job.

42. What's the most creative thing you've ever done outside of your work?

Observe if the individual sees the application of creativity to everyday problems and not just to "works of art".

43. When have you used your creativity to solve a problem at work?

Look for truly unique solutions to a problem. Can the individual apply creative processes to everyday problems?

44. When taking on a new task, do you like to have a great deal of feedback and responsibility at the outset, or do you like to try your own approach?

45. When was the last time you "broke the rules" (thought outside the box) and how did you do it?

46. Would you describe yourself as being more logical or intuitive in solving problems? Give me an example that shows your style.

If the individual is logical in forming an opinion, will decisions be cold and hard? If the individual is intuitive, will decisions be soft and indecisive? What is important in the job under consideration?









A GUIDE
TO
INTEGRATING
COMPETENCIES
INTO
MONTANA'S
HUMAN
RESOURCE
PROGRAMS



**COMPENSATION
PLANNING**
Revised 2002

COMPENSATION PLANNING

TABLE OF CONTENTS

INTRODUCTION.....	1
AGENCY PAY PHILOSOPHY	3
COMPENSATION POLICIES.....	4
GLOSSARY OF TERMS USED	5
PAY STRUCTURE AND CLASSIFICATION	8
MARKET BASED PAY	11
SITUATIONAL PAY.....	13
COMPETENCY-BASED PAY.....	15
RESULTS-BASED PAY	17
STRATEGIC PAY	18
GUIDELINES FOR DETERMINING MARKET RATES FOR JOB CLASSES	19
ADDENDUM A COMPENSATION ADVISORY PANEL RECOMMENDATIONS	27
ADDENDUM B ALTERNATIVE CLASSIFICATION AND PAY PLAN GUIDELINES	29
Annual Hourly	33
ADDENDUM C Benchmark Factoring Manual.....	35
I. PREFACE	1
II. THE BENCHMARK FACTORING METHOD AND CLASSIFICATION PROCEDURES3	
III. SINGLE FACTOR CLASSIFICATION LEVEL	15

INTEGRATING COMPETENCIES INTO MONTANA'S HUMAN RESOURCE PROGRAMS

COMPENSATION PLANNING

INTRODUCTION

This chapter provides a framework for implementing alternative classification and pay plans in state agencies. Competency Project goals included a recommendation from the compensation advisory panel for:

"Greater pay flexibility based on job content, competency, market salary data, and situational pay, with less emphasis on position classification."

The compensation advisory panel recommended a market approach with performance and competency pay. The state should have one pay system that is applied fairly and consistently across agency lines and occupations with the flexibility to address different organizational and occupational needs and values. Any proposed compensation structure and its components must be carefully implemented. Addendum A further explains these and other panel recommendations.

The "Guiding Principles" in the Alternative Classification and Pay Guidelines (addendum B) and the approaches in this chapter stem from project goals, recommendations of the advisory panel, and research about "best practices" in compensation. While significantly increasing agency flexibility, these principles establish a framework with some parameters to promote fair, consistent and careful implementation.

Agencies can be authorized by the Department of Administration to implement the pay structure and pay components in this chapter through the alternative classification and pay plan approval process. The proposal process and some rules on use of the alternative salary schedule appear in the Alternative Classification and Pay Plan Guidelines under 2104, "Demonstration Project Approval".

Organization of the Chapter

This chapter describes the framework of an alternative classification and pay plan by defining system components and by establishing some guidelines for their use. It outlines each of the recommended components of a typical plan and describes issues agencies may need to consider in developing internal policies. Definitions that recur throughout the chapter appear once, in the section where they are first used. The State Personnel Division intends to periodically update the Guide to Integrating Competencies, which will include additional sections to this chapter. Additional sections will explain why the approaches in this chapter

are being recommended and provide draft compensation policies for agencies to use in implementing pay plans.

The sections that follow discuss the various components of the alternative pay system, such as market-based pay, situational pay or competency-based pay. They provide definitions of terms as they apply to the alternative pay plan and guidelines for agencies as they proceed in developing compensation plans to meet specific agency needs.

AGENCY PAY PHILOSOPHY

Each agency's compensation plan should reflect a thoughtful analysis of the needs and desires of the agency. As a guide for developing alternative pay plan policies, an agency should develop a compensation philosophy consistent with its management philosophy, values, and strategic plan. The agency should publish this philosophy as a formal statement, such as in Figure 1. Agency philosophy statements can take several forms and should reflect the values of the organization and the relative importance of the *compensable* factors agency management wishes to *reward*. Managers need to communicate this philosophy statement to employees to help them understand the organization's values and to manage their expectations regarding future salary growth and career advancement.

Department of _____

Compensation Philosophy

The Department of _____ believes that an employee's competency and overall contribution to organizational success should largely determine employee compensation and career advancement. This pay for performance philosophy has three objectives:

First, be internally equitable. That is, provide a salary range for every position that reflects its value compared to all other positions in the agency.

Second, be externally competitive. That is, provide salary ranges that are competitive in the marketplace so the state can attract and retain qualified employees vital to organizational success.

Third, be motivating. That is, provide the opportunity for future pay based on an employee's individual work performance and development of job related competencies.

Figure 1: Sample Compensation Philosophy Statement

COMPENSATION POLICIES

Implementation of a decentralized compensation system means agencies will need to develop internal policies regarding the use of pay components. Most pay components will have some policy considerations in common. Agencies should adopt policies concerning these, as well as issues that confront the individual agency.

Common Compensation Policy Considerations:

- Approval processes for the use of pay components, base salary adjustments and other pay awards.
- When base rate adjustments or lump sum payments can be made.
- Processes for assuring accurate and consistent plan administration.
- The use of committees to review plan administration and recommend changes.
- The total amounts of pay awards or base salary adjustments available for each component or available during a specific time period

GLOSSARY OF TERMS USED

This glossary defines these terms as used in this section to promote clear communication in designing and using compensation systems in the state of Montana. Most definitions reflect common usage; a few definitions are different or more detailed than in other references.

Base pay: (base rate, base salary) The hourly rate or salary paid to an employee for a job performed not including shift differentials, benefits, overtime, or incentive premiums. Base pay is pay that an employee would expect to see in his or her paycheck every pay period that does not vary in amount from pay period to pay period.

Bonus pay: An extra payment over and above **base pay** given to an employee as an incentive or reward, normally made as a **lump sum payment**.

Competencies: Sets of measurable and observable knowledge, skills and behaviors that contribute to success in a job.

Competency-based pay: Pay based on an assessment of an employee's job-related competence.

Market-based pay: Pay awarded to employees based on comparisons to how other employers compensate employees in similar jobs. Market-based comparisons should consider not only **base pay**, but also all types of compensation and benefits having a definable dollar value.

Maximum salary: The highest total salary available in a pay band within the alternative pay schedule

Lump sum payment: A one-time pay award for a job-related service within a specific time.

Results-based pay: Pay awarded to employees or employee teams based on accomplishments. Results-based pay gives agencies the means to reward employees for outcomes or outputs.

Situational pay: Pay based on situations atypical in either the majority of jobs in Montana state government or in jobs used to make market pay comparisons. To be compensable, a job situation should be one that may cause difficulty in recruitment and retention because of job requirements such as unusual hours of work, environmental hazards, extensive travel requirements or unusual physical demands.

Strategic pay: Pay awarded to attract and retain a key employee with competencies critical or vital to the achievement of an agency's mission or strategic goals.

PAY STRUCTURE AND CLASSIFICATION

Definitions

Pay Structure: A series of pay ranges, or “grades,” each with a minimum and maximum pay rate. In a pay structure, jobs are grouped together in ranges that represent similar internal and external worth. A specific pay structure is often referred to as a “salary schedule” or “pay schedule.”

Job Classification: A formal procedure for categorizing jobs by type and/or level of work based on an analysis of job duties and responsibilities. Job classification is normally used in support of internal equity (e.g. comparable worth) and/or external equity (e.g. market based) compensation systems. The alternative classification system places jobs into class series based type of work and into a hierarchical structure (pay bands) based on complexity of work and knowledge required.

Guidelines

Greater pay flexibility required significant changes in both the pay structure and the job classification process. The broadband design adopted the following guidelines:

- Requirements in current federal and state law such as equal pay for equal work, internal equity and comparable worth need to be considered
- Limiting changes in employee salary as a result of transition to a new structure
- Maintaining the current job hierarchy since employees, unions and management appear generally satisfied with it, and it generally reflects how the market ranks jobs.
- Administrative efficiency.

Pay Structure

The Alternative Classification and Pay Plan Guidelines, MOM 3-0510 defines pay structure in the alternative pay schedule, which is based on the pay schedule for pay plan 060. The department will review and modify this schedule as needed. Agencies may ask to modify the schedule to meet their salary administration needs.

The alternative pay schedule or “broadband structure” has much wider pay bands than traditional pay ranges. They usually incorporate 3 or more existing

pay ranges into one pay band. This structure has reduced the previous twenty-five grades into nine broadbands. To minimize transitional fiscal effects, the minimum salary for a broadband is the current entry salary for the lowest grade included in that pay band and the maximum salary is based on the maximum salary for the highest grade.

Classification

The basic job classification process remains the Benchmark Factoring Method. Placement of jobs into pay bands uses a modified procedure for this alternative pay plan that combines the factors Complexity, and Knowledge, Skills, and Abilities from the current seven-factor method, and eliminates the remaining five classification factors. The new single factor places positions into a broadband based on the complexity of the predominant work and knowledge needed to perform it (Addendum C, Classification Manual, Volume 3, Methods and Procedures, Broadband Classification System).

Except for references to the current seven factors and the factor descriptions in Part III, the Benchmark Factoring Method, as described in the Classification Manual Volume III, still applies. The Classification Plan Rules will remain the same. Series Discussions and the Description of Duties and Complexity sections of published benchmarks will also apply when placing positions in classes in the alternative single-factor classification system. Since the language of this single factor is based primarily on the Complexity level language, and since it will be applied to the predominant work of the position, a position's current factoring on Complexity determines its allocation to broadbands. For example, a position currently factored at level 5 Complexity will move to the level 5 broadband.

Broadband Classified Pay Plan Schedule Conversion from Pay Plan 60 Grades	
PP 60 Grade	Pay Band
4 through 7	1
6 through 9	2
8 through 11	3
10 through 13	4
12 through 15	5
14 through 17	6
16 through 19	7
18 through 22	8
20 through 24	9

Figure 3: The relationship between the broadband structure and the current grades

This meets the guidelines adopted for broadband design and provides a simpler and more flexible system. Since the Complexity and KSA factors carry the heaviest weight in the current system using them as the only factors in the new system causes little or no change in job hierarchies. However, many jobs at different grades in the old system will be the same "level" in the new system due to the reduced number of grades. Using factors from the current classification system means that jobs do not have to be reclassified to implement the new system, and the current classification principles, practices, procedures and benchmarks will require little modification.

The current classification statute (2-18-202 MCA, Guidelines for Classification) only refers to the similarity of the complexity of work and the required KSA's. Further, these factors most closely align with the concept of comparable worth. Finally they are closely related to level descriptors used in salary surveys

Transition

Because the new, single classification factor applies to predominant work, positions should automatically convert to the new pay schedule based upon their ranking on the Complexity factor in the current seven-factor system. A position currently factored at level 6 Complexity, for example, would move to pay band 6 in the alternative schedule. Positions not factored using the Benchmark Factoring Method will need to be evaluated using the single-factor classification method.

Transition to the new pay bands may eliminate steps in career ladders based on the current grade structure. If agencies wish to maintain elements of current career ladders, they may need to adopt specific agency pay policies to adjust salaries within the new pay bands.

Reducing the number of grades may also affect union contracts. Agencies will need to review and renegotiate collective bargaining agreements if elements of the agreement are based upon the current twenty-five-grade salary schedule.

Centralized rules on promotion and demotion will no longer apply. Agencies will need to adopt policies for determining base salary when an employee changes pay bands.

MARKET BASED PAY

Definition

Base pay: (base rate, base salary) The hourly rate or salary paid to an employee for a job performed not including shift differentials, benefits, overtime, or incentive premiums. Base pay is pay that an employee would expect to see in his or her paycheck every pay period that does not vary in amount from pay period to pay period.

Market-based pay: Pay awarded to employees based on comparisons to how other employers compensate employees in similar jobs. Market-based comparisons should consider not only base pay, but also all types of compensation and benefits having a definable dollar value.

Guidelines

Market based pay decisions typically concern establishing and adjusting general pay schedules. Within a band market rates or ranges can be established for occupations or classes and used to authorize and justify pay adjustments for employees.

Market Data

The Division will compile market data and analyses to be used in evaluating the competitiveness of pay bands and in setting market rates for occupations. Montana market data, when available, will be the primary reference for jobs where employees usually are recruited from within the state. Salary survey data from the four surrounding state governments also will serve as a standard reference. Data from national surveys also may be used, with adjustments to account for the typical relationship of Montana average salaries to national average salaries. This market information will be published in "salary portfolios".

Setting occupational-based market salaries within pay bands

Agencies may propose market rates for specific occupational groups, classes or specialties within classes based on data the State Personnel Division compiles and on other relevant data agencies may acquire. Some cases may lack adequate labor-market data for specific classes. These cases may base a proposed market rate on similar classes or occupations for which market data is available. The division must review and approve salary survey data, market analysis and proposed market rates before the market adjustment of any position.

Some state classes are occupationally broad or diverse in nature. Agencies may propose market rates for specialties within classes if market data is available and distinctions between specialties are apparent. The division will consider

establishing separate classes for specialties if this improves administrative efficiency.

Making market-based pay adjustments

Agencies can be authorized, through the alternative classification and pay plan approval process, to make market-based base pay adjustments within pay bands for specific occupational groups, classes, or specialties within classes.

It is recommended that competency assessment be used to determine an employee's base pay in relation to the approved market rate. If a market problem exists, agencies may adjust an employee's base salary up to 100% of the approved market rate without consideration of other pay components. Other pay components such as competency-based pay may be used to adjust an employee's base rate beyond the approved market rate.

Without other criteria for determining salary, market adjustments must apply to all positions within a class in a specific agency except in the case of moving positions to a new pay zone entry rate. (Example: If one employee in a class is moved toward the market rate without consideration of other criteria such as performance pay, then all positions within a class in that agency must be adjusted toward the market rate at a similar rate.)

Agency policies on proposing market rates or making market-based pay adjustments should include consideration of recruitment and retention problems, and availability of funding.

SITUATIONAL PAY

Definition

Situational pay: Pay based on situations atypical in either the majority of jobs in Montana state government or in jobs used to make market pay comparisons. To be compensable, a job situation should be one that may cause difficulty in recruitment and retention because of job requirements such as unusual hours of work, environmental hazards, extensive travel requirements or unusual physical demands.

Lump sum payment: A one-time pay award for a job-related service within a specific time.

Guidelines

Agencies can be authorized to make situational-based pay adjustments through the alternative classification and pay plan approval process.

Situational pay:

- Does not supercede any requirements of the Fair Labor Standards Act.
- Should be applied consistently to all agency positions in the alternative pay plan.
- May be awarded as a flat-dollar amount (same for all employees regardless of base salary) or a percentage of an employee's base salary.
- May be awarded as a part of base salary or as a lump sum.
- Should not be awarded if the situation is typical of survey jobs used to make market-based pay adjustments for the class or position.

Agency policies on situational pay adjustments should consider the rationale for situational pay including clear definitions of eligible situations or circumstances, and how to determine situational pay rates.

COMPETENCY-BASED PAY

Definition

Competencies: Sets of measurable and observable knowledge, skills and behaviors that contribute to success in a job.

Competency-based pay: Pay based on an assessment of an employee's job-related competence.

The competency component of pay gives agencies a way to reward employees for the development, growth and demonstration of job-related competencies.

Guidelines

Agencies can use the alternative classification and pay plan approval process to establish competency pay ranges for positions and to pay employees based on assessments of their competencies. Competency-based pay should occur in base salary adjustments. Agencies may pay for competence in lump sum awards, however, until such time they are comfortable with the development of competency models and assessment processes.

Setting competency pay ranges

The midpoint of the competency pay range may be set up to the approved market rate for a class or specialty within a class but may be less than the market rate.

The extent of a competency range is dependent on how much the competencies help produce desired results, and on the degree to which agencies want to emphasize competency-based pay in relation to results-based pay. A competency pay range of 15% above and below a midpoint is recommended for positions with job duties and responsibilities typical of a class.

Additional competency pay beyond the 15% above and below midpoint may be appropriate for positions assigned duties and responsibilities that aren't typical for a class. Atypical duties and responsibilities may be non-predominant work better described by a higher classification level, supervisory duties, or duties that are typical of a different class. To be eligible for additional pay, the atypical duties and responsibilities should require competencies not already measured or higher proficiency in competencies already measured. Pay for additional competencies or higher proficiencies may occur by expanding the competency range beyond that established for the position's class, or by using a separate range for the additional competencies or higher proficiency levels.

Competency-based pay adjustments

New employees may receive pay above the entry rate of a competency range when their job-related competencies exceed established minimum competencies for the position. This assessment may account for job experience, knowledge, training and past performance.

State agencies may recognize an employee's competency growth with base pay increases within an established competency pay range.

Pay for additional competencies associated with newly assigned duties should be based on an assessment of employee competence. Pay for temporarily assigned additional duties does not require a competency assessment.

RESULTS-BASED PAY

Definition

Results-based pay: Pay awarded to employees or employee teams based on accomplishments. Results-based pay gives agencies the means to reward employees for outcomes or outputs.

Bonus pay: An extra payment over and above base pay given to an employee as an incentive or reward, normally made as a lump sum payment.

Guidelines

The alternative classification and pay plan approval process can authorize agencies to reward individual employees or defined groups of employees (employee teams) for outcomes and/or outputs. Performance standards used to award results-based pay should be set at the beginning of the assessment period. Since results measures are linked to specific outcomes or outputs occurring within one time period, an agency will usually award results-based pay as bonus pay.

Agencies may want to consider policies establishing a relationship between results-based pay and competency-based pay.

STRATEGIC PAY

Definition

Strategic pay: Pay awarded to attract and retain a key employee with competencies critical or vital to the achievement of an agency's mission or strategic goals.

Guidelines

Through the alternative classification and pay plan approval process Agencies can make discretionary pay adjustments for specific positions.

Strategic pay may be considered when:

- An agency must have a highly competent person in a job in order to achieve a strategic goal identified in an agency's performance plan.
- Market and competency-based adjustments are not enough to attract a candidate with the desired competencies and level of competence.
- Persons with the desired competencies or combination of competencies are rare in the marketplace and very difficult to recruit.
- Salary with the adjustment still costs much less than obtaining services through other means such as contracting.

Strategic pay may result in a position being in a higher pay band than its classified level.

Agency policies on strategic pay adjustments should include consider limiting the number of agency positions that can qualify for this component. An agency may use strategic pay as a temporary solution to a recruitment or retention problem. Generally it will apply only to key positions.

GUIDELINES FOR DETERMINING MARKET RATES FOR JOB CLASSES

ALTERNATIVE PAY PLAN (020)

The preceding sections of this chapter, especially the section titled "Market Based Pay" should be read and understood before using these guidelines for setting market rates for various job classes. These guidelines:

- Identify factors for determining market rates.
- Define a process for determining market rates that involves all stakeholders.

Determining market rates for classes in the alternative pay plan (pay plan 020) involves cooperation between the State Personnel Division, agency management, employees and employee bargaining agents. The Division, through the Department of Administration, administers the pay plan based on law and the stated objectives of the competency and alternative pay plan initiative. Agencies need to participate to ensure that market rates and resulting pay will attract and retain competent employees. When bargaining agents represent employees, agencies have an obligation to bargain compensation, including market rates. Including employees not represented by bargaining agents in alternative pay plan development and the market rate development process is an agency option. Employees involved in helping determine market rates may better understand and appreciate the results.

Market Rates for Supervisory, Managerial and Executive Classes

In the current statewide-classified system (pay plan 060) most line supervisor jobs are not distinct from non-supervisory positions in their classification title and code. An Accountant Grade 16 position, for example, may be a line supervisor position. To allow occupational analysis of line supervisory positions, such as responding to salary surveys, the alternative plan will have separate classes for line supervisory jobs, e.g., Accounting Supervisor Level 6.

The State Personnel Division prepares market rate data and analyses for most classes. The Division will not, however, prepare market rate data and analyses for line supervisory, managerial or executive classes. Agencies may set midpoints for positions in these classes as long as pay zone minimums and maximums don't exceed the pay band minimums and maximums. The Division is not preparing this information for supervisory classes system wide because:

- A single Complexity ranking in the Benchmark Factoring Method (BFM) for the state-wide classified plan (pay plan 060) can result in up to five different grades for supervisory positions depending on rankings on Management and Supervision of Others (MSO) and other BFM factors. In the alternative plan, agencies may want to evaluate supervisory positions differently on some of the elements previously measured in MSO and other factors. BFM MSO sub-

factors measure complexity levels of subordinate staff, number of FTE supervised, type of supervision exercised, and diversity of work supervised. Supervision Received ratings recognize differences in the authority of various supervisors. A single market rate for a supervisory class in a specific pay band would limit the ability to recognize differences in supervisory positions based on these criteria.

- In generic supervisory classes, such as Information Technology Manager, the market rates of subordinates may vary from job class to job class. Agencies may want to consider market rates of subordinate positions in establishing pay ranges for supervisory positions.
- Supervisory positions might include technical supervision as well as administrative supervision. Agencies may want to distinguish between these two supervisory types in setting job-based pay rates. For example, an agency may want to pay a level 7 manager required to be a technical expert in the work supervised more than another level 7 manager not having this requirement.
- The salaries of subordinates are important in setting supervisory salaries. An agency may want to pay a supervisor the same as a technical expert in a subordinate position or may want to set the supervisory salary high enough to be an incentive for recruiting from subordinate staff.

There are sources of market data for supervisory/managerial positions. The State Personnel Division will provide any labor market information it has available on supervisory, managerial, and executive jobs.

Agencies may consider these and other appropriate variables in determining pay ranges for supervisory jobs. To promote consistency, agencies may want to develop a policy for setting supervisory pay ranges.

Market Rates for Class Series

It is the Division's intention that only one class and one market rate will be set in each pay band for each class series. For example, there should be only one class in Pay Band 6 for an Accountant and only one market rate for this class.

It is a good idea to set market points in pay bands the same distance apart for promotions within a class series. Direct translation of survey data to pay bands could result in market rate relationships from band to band being unequal. For example, the difference between band 5 and 6 in a class series could be 15%, and the difference between band 6 and 7 in the same series could be 25%.

To progress evenly from pay band to pay band, market rates should progress in a class series from an "anchor point." The anchor point should be the journey level

of the class series. The most populous class in a class series is normally the journey level. Market rates for other pay bands in a class series should be in increments from the anchor point that reflect the midpoint differences of pay bands. These increments are about 20%, ranging from 18.5% to 22.2% between the nine pay bands. Major salary surveys identifying levels of work report an average 20% pay difference between levels of difficulty or competence in occupational groups, such as entry, journey, and advanced levels of professional accounting).

Example: Non-supervisory accountant jobs are classified at levels 5, 6 and 7. In the Accountant Series, classification level 6 defines the "journey" level for professional accountants. One interpretation of market data shows that journey level accountants in Montana are paid an average annual salary of \$37,543. Midpoints in pay bands 5 and 6 are 20.3% apart, and midpoints in pay bands 6 and 7 are 20.7% apart. Market rates through these bands for a class series should reflect these midpoint differences of about 20%. Assuming \$37,543 is used as the market rate for Accountant Level 6, and the desired market rate progression is 20%, then the Accountant Level 5 market rate would be \$31,285 and the Accountant Level 7 would be \$45,051.

The primary reason for anchor points is to enable even market rate transitions from band to band. An anchor point approach is also necessary when surveys only provide one average salary for a job category. In these cases market points for different pay band levels in a class series must be projected from this single survey result.

Example: The Occupational Employment Statistics Wage Survey (OES) data does not stratify survey data for a job category by levels of work. If the OES survey is the only source of market data for a particular job category, then the OES average salary for this job category is correlated to the journey level pay band for the class series and other pay band market points are calculated from this "anchor point."

Factors Affecting Market rate Determination

Determining market rates for job classes means evaluating multiple factors:

1. The state's experience in recruiting and retaining employees in the class.
2. Midpoints of the current state wide classified plan (060 and 068) pay grades.
3. Market data from reliable and appropriate sources.
4. Salaries of employees in the class and available funding.
5. Bargaining agreements with employee bargaining agents.

The state's experience in recruiting and retaining employees in the class.

By definition, a market rate reflects the supply of and demand for people with certain qualifications or competencies. Organizations that pay below those in the marketplace may find it hard to attract and keep qualified employees. Organizations that overpay could spend more than necessary on labor. Market rates should be high enough to attract and retain competent employees but not higher than is needed to do this. Market rates should be considered in conjunction with other rewards and factors affecting employee recruitment and retention.

Setting market rates and pay ranges primarily means assessing how well current pay rates attract and retain competent employees. If the state has been able to attract and retain competent employees using existing pay ranges, then the market rate or pay range is already competitive in the market.

Even when recruitment and retention are a problem, the cause may not be the pay range but how pay has been managed in the pay range. The alternative pay plan does not require hiring at the entry rate. Agencies may hire at any salary up to the market rate, based on the applicant's qualifications. This might solve recruitment problems. The plan also allows adjusting employees' salaries up to the maximum of the pay range based on competence or performance. This might solve retention problems. The flexibility to set starting rates and adjust employee pay up to range maximums should be a factor in determining market rates and resultant pay ranges.

Recruitment and retention problems in a job class might depend mainly on location. Increasing the market rate for a whole class may not be the best solution. If recruitment and retention problems are site specific, consider site specific adjustments.

Midpoints of the current state wide classified plan (060 and 068) pay grades.

If a job class has a history of only minor recruitment or retention problems, the midpoints of pay ranges in pay plan 060 or 068 can be used to set a market rate for the class in the alternative plan. The market rate for a new class should be the midpoint for the highest grade in pay plan 060 normally predicted by the complexity rating for non-supervisory positions.

Example: Non-supervisory Complexity level 6 positions in pay plan 060 are typically grades 14 and 15. The grade 15 midpoint would become the market rate for the level 6 non-supervisory class in the alternative plan.

Market data from reliable and appropriate sources

When existing pay ranges are identified as the primary cause of recruitment and retention problems, the Division and agency managers should review market data

to assess the market adjustment needed to resolve the problem. They may consider available market data from reliable and appropriate sources in setting market rates.

Since survey data typically includes any type of longevity pay in reported salaries, comparisons of average pay for state employees to survey averages should consider employee "total pay".

National salary surveys may be used as a source of market data. Montana average salaries are lower than national average salaries. To implement a policy of paying state employees similar to the pay of other Montana citizens doing similar work, adjust averages of national survey data proportionately. OES survey data show that Montana salaries are, on average, 85% of national salaries. National survey job class averages should be adjusted to 85% to reflect the relationship of Montana salaries to national salaries.

Weight should be given to market data sources based on the validity and applicability of each survey's data. Applicability of the data depends primarily on the similarity of survey jobs to state job classes. Validity of salary survey data depends primarily on the size of the survey in terms of employers and employees represented, and type of organizations represented in a survey. The most applicable and valid data is accurate salary data for those employers that compete the most with the state for people with specific competencies.

As a general benchmark, state government salaries considered will normally consist of data from the states of Idaho, North Dakota, South Dakota, and Wyoming.

As noted in "Market Based Pay," when market data is not available, agencies can recommend a market rate based on a job class or job classes requiring similar occupational competencies.

When no relevant or reliable market data is available for a job class or a related job class, analysis of the severity of recruitment and retention problems may be used to recommend a market rate.

Salaries of employees in the class - and available funding

Determining a market rate should consider current employee salaries. Unless the legislature provides additional funding specifically for pay increases in the alternative plan, agencies will have to draw on the amounts appropriated for pay plan 060, and on funding they are able to transfer from other budget categories. If most available funding is used to move all employees toward a higher market rate, then funding will not be available for employee performance or competence (progression) rewards. Market rates should be set so that a pay range of

reasonable width will encompass most employees' current salaries. This will limit amounts needed to bring current and new employees up to higher entry salaries.

Bargaining agreements with employee bargaining agents.

The four factors discussed above are intended to guide agency management and the State Personnel Division in developing a market rate for classes in the broadband plan. In this process the obligation to bargain must also be met. This means management must bargain pay rates with the exclusive bargaining agents. (See the Chapter 1, Section B, "Labor Relations" of the Competency guide.)

Market Rate Development Process

Once the State Personnel Division has approved an agency proposal for moving positions to the alternative pay plan, and alternative plan class codes and titles have been established for affected positions, the agency should follow these steps in developing a market rate:

1. The agency should analyze its recruitment and retention experience and determine if the market rates in the alternative plan need to be higher than the midpoint for the highest non-supervisory grade predicted by the Complexity ranking in pay plan 060.

If a current midpoint from pay plan 060 is adequate, the agency may recommend this rate to the Division as the market rate for the class.

2. If analyzing recruitment and retention indicates that a current pay plan 060 midpoint is inadequate, the agency may request available market data from the Division. After reviewing available market data provided by the Division and any additional data collected by the agency, the agency may recommend a market rate to the Division. If no relevant market data is available, the agency may recommend a rate based on their judgement of what will solve recruitment and retention problems in the class and what is reasonable given current employee pay levels.
3. The Division will approve the market rate proposed by the agency or suggest another rate based on its own analysis. If the market rate is for a class used by multiple agencies, the Division may ask for review and comment by affected agencies on the proposed market rate. At this step, the agency and the Division will come to an agreement on a recommended market rate.
4. For bargaining unit positions, the agency and the Division will seek agreement with employee bargaining agents on a market rate. Agencies should provide information to bargaining agents on the process used to

develop the administration's recommended rate. Review of the market rate by bargaining agents should be in the context of the total compensation plan proposed by the agency.

ADDENDUM A

COMPENSATION ADVISORY PANEL RECOMMENDATIONS

During the design phase of the alternative classification and pay plan, an advisory panel of agency managers and personnel officers was formed to assess existing systems and identify desirable characteristics of replacement systems. The recommendations of the panel in summary form* are as follows:

Compensation Structure and Components

Performance and/or competency pay is needed. There should be career growth options other than promotion to supervisory positions. The pay structure should reflect markets as directly as possible. The proposed compensation structure and components look reasonable but need to be carefully implemented.

Equity

The State of Montana should have one pay system, which is fairly and consistently applied across agency lines and occupations, but flexible enough to address different organizational and occupational needs and values. Pay, which does not recognize differences in employee performance or competency, is not equitable.

Funding

Pay needs to be more competitive to attract and retain high quality employees. There should be cost-of-living increases or regular increases to match market movement built into budgets. Competency or performance pay will not be considered an incentive or reward if it is not significantly higher than inflation rates.

Management and Budget

Managers need more authority to manage their budget including compensation decisions. More training and better human resource support systems are needed to assist managers. There should be some safeguards to limit abuses and to promote consistent application.

Legislative Relations

To achieve legislative and public approval we will have to demonstrate how a new system will improve the quality and efficiency of state government. There should be a standing legislative committee on state employee pay to improve communications with the legislature on this issue.

*More detailed information about panel recommendations is available upon request.

ADDENDUM B

ALTERNATIVE CLASSIFICATION AND PAY PLAN GUIDELINES

INDEX

- 2101 AUTHORITY AND POLICY STATEMENT
- 2102 DEFINITIONS
- 2103 GUIDING PRINCIPLES
- 2104 BROADBAND PLAN APPROVAL
- 2105 PAY ADMINISTRATION
- 2106 ALTERNATIVE CLASSIFICATION AND PAY SCHEDULE
 - APPENDIX A
 - APPENDIX B

2101 Authority and Policy Statement. The Department of Administration adopts these guidelines under the authority of 2-18-301 (7), MCA (See Appendix A). The department has been and is continuing to develop and implement, an alternative classification and pay plan. These guidelines are intended to be broad parameters that give guidance and structure when implementing alternative pay and classification plans. The alternative classification and pay plan may be referred to as the "broadband classification and pay plan," or the "broadband plan."

2102 Definitions. For the purposes of this policy, the following definitions apply:

"Department" means the Department of Administration.

"Competencies" means sets of measurable and observable knowledge, skills, and behaviors that contribute to success in a job.

"Competency pay" means pay based on an assessment of an employee's job-related competence.

"Market-based pay" means pay awarded to employees based on the level of pay needed to recruit and retain competent employees, and on comparisons to how other employers compensate employees in similar jobs. Market pay comparisons should consider not only base pay, but all types of compensation and benefits having a definable dollar value.

"Maximum salary" means the highest base salary available in a pay band within the alternative pay schedule

"Minimum salary" means the lowest base salary available in a pay band within the alternative pay schedule.

"Results-based pay" means pay awarded to employees or employee teams based on accomplishments. Accomplishments may be outcomes and/or outputs achieved.

"Situational pay" means pay based on situations atypical in either the majority of jobs in Montana State government or in jobs used to make market pay comparisons. To be compensable, a job situation should be one that causes difficulty in recruitment and retention because of job requirements such as unusual hours of work, environmental hazards, or unusual physical demands. Some examples of situational pay are hazardous duty pay, on-call pay, subsistence pay and pay for excessive travel.

"Strategic pay" means pay awarded to attract and retain an employee with the competencies critical or vital to the achievement of an agency's mission or strategic goals.

2103 Guiding Principles. The broadband classification and pay plan should improve service to the public as well as expand career opportunities for state employees. To that end, the department encourages agencies to integrate competencies into their human resource systems such as recruitment, selection, compensation, performance management, and training programs. The department also believes agencies should recognize and reward employees for valuable competencies and accomplishments by implementing competency and results-based pay.

In addition to competency pay and results-based pay, the department is encouraging the use of market-based pay and the inclusion of situational pay and strategic pay components when appropriate. Therefore, each agency's pay policy should include those pay components that promote the retention of competent employees.

Finally, the department believes agency management should have greater flexibility in making pay decisions. Therefore, the department requests that all agency pay policies employ the broadband pay schedule in conjunction with the new classification system. The broadband pay schedule reduces the number of pay levels and provides broad pay ranges within each level (pay band). The new classification system has been streamlined by reducing the seven-factor classification system to one factor that combines job complexity, knowledge, and skill. This broadband classification system reduces job content pay decisions made through a central system allowing agencies more flexibility in the valuation of job duties and responsibilities.

2104 Broadband Plan Approval. To initiate transition to the broadband pay plan, an agency should submit for approval to the administrator of the State Personnel Division an implementation proposal. Agencies may submit a combined proposal if the project will involve employees from multiple agencies.

There is an obligation to bargain collectively with labor organizations when positions covered by a labor contract are involved in transition to the broadband plan.

Each implementation proposal should at minimum:

- A. Outline the agency's business reasons for proposing the project such as the organizational and individual performance issues the agency wants to address.

- B. Describe the participating work unit(s) and occupational classes involved; and
- C. List the resources the agency will commit to the project.

The department will evaluate each proposal based on:

- A. How closely the business reasons for undertaking the project relate to the guiding principles;
- C. The readiness of agency managers and employees to undertake a implementation of the broadband plan;
- D. Available agency and department resources; and
- E. Collective bargaining issues.

2105 Pay Administration. An agency may develop a broadband pay policy and submit it to the department as part of the agency's initial proposal or any time after the department approves an implementation proposal. However, the agency should receive approval from the department before implementing broadband pay policy.

The department will evaluate each broadband pay policy based on:

- (1) How closely the pay policy adheres to the guiding principles; and
- (2) How the pay policy adheres to the application of the compensation guidelines described in the Compensation Section of the State of Montana Competency Guide.

Under 2-18-303 7, MCA, positions in the broadband plan are excepted from several of the provisions of 2-18-303, MCA. It is the intent of this policy to provide agencies with the flexibility to pay broadband plan employees for their competencies and accomplishments. Therefore, agencies may award pay increases greater than those described in 2-18-303, MCA.

2106 Alternative Classification and Pay Schedule. If an agency implements the broadband pay schedule described in Appendix B, the department and the agency should jointly apply the new classification system criteria (factor levels) to allocate all positions in the project to the appropriate pay band.

Pay bands and new classification standards are designed so that an employee's salary on transition into the broadband pay schedule will fall within the minimum and maximum salaries in the appropriate pay band. However, in cases where an employee's salary is below the minimum salary of the appropriate pay band, at the agency's discretion, pay may be increased to the minimum salary.

An agency should obtain prior approval from the department before allowing an employee's base salary to exceed the applicable maximum salary in the broadband pay schedule.

APPENDIX A

The following is the text of 2-18-303 (7), MCA, as implemented by the 57th Montana Legislature...

- (7) (a) The department may develop and implement an alternative pay and classification plan for certain classes, occupations, and work units. Pay for employees in the alternative pay and classification plan may be established and changed based on demonstrated competencies and accomplishments, on the labor market, and on other situations defined by the department.
- (b) To the extent that the plan applies to employees within a collective bargaining unit, the implementation of the plan is a negotiable subject under 39-31-305.

APPENDIX B

BROADBAND PAY SCHEDULE – PAY PLAN 020 FISCAL YEARS 2002-2003

Annual		Hourly		
Pay Band	Minimum Base Salary	Maximum Base Salary	Pay Band	Minimum Base Salary
1	\$11,346	\$21,428	1	\$5.454808
2	\$13,316	\$25,614	2	\$6.401923
3	\$15,748	\$30,689	3	\$7.571154
4	\$18,676	\$40,521	4	\$8.978846
5	\$22,241	\$49,065	5	\$10.692788
6	\$26,560	\$59,474	6	\$12.769231
7	\$31,884	\$72,275	7	\$15.328846
8	\$38,339	\$97,657	8	\$18.432212
9	\$46,170	\$120,300	9	\$22.197115

ADDENDUM C
Benchmark Factoring Manual

This addendum contains the full text of the Classification Manual, Volume 3, Methods and Procedures for the Broadband Classification System. It includes the factor level definitions and lists of benchmarks. This manual is used by trained classifiers to determine the correct pay band for positions in Pay Plan 020.

CLASSIFICATION MANUAL

Volume 3

METHODS AND PROCEDURES

**Broadband Classification
System**

Table of Contents

I. PREFACE	1
II. THE BENCHMARK FACTORING METHOD AND CLASSIFICATION PROCEDURES.....	3
<i>Introduction</i>	3
<i>Application Principles</i>	4
<i>Application Procedures</i>	5
Class Development Policy	7
<i>Request for Class Development</i>	7
<i>Criteria for Class Development</i>	8
<i>Occupational Titles</i>	8
<i>Job Code Numbering Conventions</i>	9
HR Standards and Services Bureau Responsibilities	11
<i>Development</i>	11
<i>Maintenance</i>	11
<i>Technical Assistance to Agencies</i>	11
<i>Monitoring Delegated Classification Authority</i>	11
Agency Authority and Responsibilities	13
<i>Position Management</i>	13
<i>Communication with Employees regarding Classification</i>	13
<i>Participation in Occupational/Organizational Reviews:</i>	13
III. SINGLE FACTOR CLASSIFICATION LEVEL.....	15
<i>Introduction</i>	15
<i>Application Guidelines</i>	17
<i>Using the Classification Factor Level Definitions</i>	19
Classification Factor Levels	20
<i>Level One</i>	21
<i>Level Two</i>	21
<i>Level Three</i>	23
<i>Level Four</i>	25
<i>Level Five</i>	27
<i>Level Six</i>	29
<i>Level Seven</i>	31
<i>Level Eight</i>	35
<i>Level Nine</i>	37
Current Benchmarks Listed by Class Code	39
Current Benchmarks Listed by Series Title.....	43
Current Benchmarks Listed by Factor Level	47

I. PREFACE

Broadband Classification System

Job classification is an essential element in equity-based and market-based systems, providing for similar pay between positions by applying common standards. Without a system of categorizing jobs by type and level of work, comparisons of jobs cannot be made to determine and facilitate internal equity or external equity. The broadband classification system is designed to achieve both.

Type of work can be very general, such as a "job family" (Information Technology) or more specific (Information System Security Specialist). Level of work is normally measured by the difficulty of work and amount of required knowledge. In both cases, the classification system focuses on characteristics of the work, not the person doing the job.

Measures for a market based employee compensation system include those factors that have the largest impact on availability and cost of competent workers. The difficulty of the work and knowledge required to perform the work are the most predictive of the supply, and therefore the likely cost of competent people.

The methodology promotes pay equity, provides the basis for administering a market-based pay system and generates information for various occupational studies. Objective, task related factor level definitions that focus on predominant or essential tasks assure compliance with ADA and EEO requirements and simplifies recruitment.

In 1973 the Montana State Legislature directed the Department of Administration to develop a statewide classification and pay system. It was the intent of the legislature to establish a uniform system to compensate state employees with the following guidelines:

1. State jobs should be grouped into defined classes based on the similarity of the work performed, the responsibilities assumed and the complexity of the work.
2. Similar levels of education, experience, knowledge, skill and ability can be required of applicants for each position.
3. The same title can be used to identify each position.
4. Similar pay can be provided, under the same conditions, to each position with appropriate consideration given to equity, market salary rates for similar work, ADA and EEO requirements.

The Benchmark Factoring Method uses factor level descriptions and benchmark positions to describe and evaluate complexity of the work and the required education and experience to perform the predominant duties. This approach maintains a hierarchy in the level of work and responsibility that is used to establish compensation levels.

This manual is organized into sections, so that additional materials can be included or sections can be changed or updated as needed.

II. THE BENCHMARK FACTORING METHOD AND CLASSIFICATION PROCEDURES

Broadband Classification System

Introduction

The Benchmark Factoring Method compares work to factor-level definitions, found later in this manual and to class series discussions and published benchmarks found in other documents. This comparative method establishes a hierarchy of work and fulfills MCA 2-18-202, which requires a classification plan that groups positions into classes based on similarity of duties, responsibilities and complexity of work.

In the Broadband Classification System (Pay Plan 20), positions are allocated to one of nine pay bands based on the evaluation of a single classification factor that measures the complexity of the work and the knowledge or skills required to perform it. Generally, the difficulty of the work directly affects the knowledge, and skills needed to do the work. This factor has been shown to accurately reflect the level of work.

Three separate documents or "Volumes" contain the information needed to determine the class of a given position.

- ♦ **Volume 1:** Classification Inventory, which lists the classes in which positions may be placed by class titles or job code.
- ♦ **Volume 2:** Classification Standards, which consists of two separate parts.
 - **Class series discussions** describe occupational groups, giving typical work assignments, common working titles and other information used to determine the class that best describes the predominant work of a position. The series discussion guides the classifier to the correct occupational group for the type of work. Occupational groups are used to make work, salary and other comparisons, respond to surveys and establish occupational market rates.
 - **Benchmarks** are positions in state government that show the accurate application of the factor level language. Various agencies contributed position descriptions and additional information and worked with State Personnel Division on the classification of the benchmark positions. A Benchmark lists the duties assigned to a representative position within an occupational series and describes how the classification factor relates to the duties. Benchmark descriptions illustrate how the factor is applied to a particular type of work.
- ♦ **Volume 3:** Methods and Procedures Manual, which contains the rules and procedures for applying the Benchmark Factoring Method, and the factor level descriptions. The Benchmark Factoring Method compares work to class series discussions, factor-level

definitions, and published benchmarks and places positions into classes and grades based on the evaluation of a position's duties and responsibilities.

The Human Resources Standards and Services Bureau (the Bureau) of the State Personnel Division (SPD) develops and maintains benchmarks and class series discussions. The number of Benchmarks in any occupation or grade varies according to the variety of work situations. Some series may have only a series discussion, or only a list of occupational titles and grades and possible benchmark comparisons.

Application Principles

The Benchmark Factoring Method evaluates the work performed in any given position without considering the characteristics of the employee in the position or the classification of other non-benchmark jobs with the same occupational title. Classifiers evaluate the work performed against factor level definitions and the benchmarks. Before beginning the evaluation process, classifiers must identify the predominant work assigned to the position, applying the following four principles of the **Predominant Duty Rule**.

- ◆ The classifier must identify the work performed 50 percent of the time or more. Some jobs do not have a single duty that takes up 50 percent or more of the total work time. In those cases the classifier must identify the most difficult duties and group them into a body of work that would be performed at least 50 percent of the time.

Mixed Positions perform unrelated duties from two or more different **occupations**. If the unrelated duties differ significantly in factor levels, the resulting class allocation, based on the predominant duties, might not appropriately recognize the varying levels of work. If this situation occurs, agencies may consider splitting the position to create separate part-time positions so that each occupation can be classified independently.

- ◆ The predominant duties must be **fully equivalent** to the overall intent of the factor-level description in order to receive the rating. To assess the proper level, the classifier must start at Level 1 and progress to the first level that most fully describes the total predominant work.
- ◆ Sometimes the parts of two factor levels describe predominant work or different parts of the predominant work meet the full intent of different levels. In these cases, the classifier must apply the first level that accurately describes the predominant work. This means that the classifier must select the lowest level that describes at least part of the predominant work, regardless of the percentage of the predominant work. For example:

Duty A	level 5	30%
Duty B	level 4	25%
Duty C	level 3	45%

Level 4 is appropriate because 55 percent of the work is at or above level 4 (level 5, 30 percent plus level 4, 25 percent).

- ◆ Comparison to a benchmark is essential. In the case of class series that lack published benchmarks, the classifier must use benchmarks from related series or

benchmarks that demonstrate similar duties or level of work. If the occupational or related benchmark does not have an important characteristic of the job being classified, the classifier can use any benchmark that illustrates that part of the job. Lack of benchmarks or series discussions does not eliminate this step in the procedure as the intent of the factor level language is illustrated by the benchmarks.

Application of the standards requires more than just matching specific words and phrases to the position description. It requires consideration of the **full intent** of each factor level and selection of the level that best reflects the nature of the position under review. The classifier must compare the predominant work to the factor level definitions to determine which level best describes the work. Mandatory comparison to a benchmark verifies factor level choice. The intent of factor level language is the controlling element in factor level selection and this intent is demonstrated in the benchmarks. A classifier may need to compare several benchmarks in different occupational groupings to fully understand the application of a given factor level to various types of work.

Classifying positions using BFM entails an evaluative process. Choosing a factor level rating involves evaluating the predominant duties and assigning the appropriate factor level. Classifiers can refer to any Benchmark and compare the factor levels of the Benchmark to the position being classified. For instance, to determine the proper factor level for Complexity for an engineer, a classifier can refer to the complexity levels applied to biologists or water quality specialists. Positions can be classified without knowing the class series or without benchmarks in the series. For example, there are no Program Specialist benchmarks. A classifier can assign a position to this class series and compare the duties to other benchmarks, such as the Administrative Officer to reference factor levels and apply the correct level.

State government jobs are so diverse that neither the factor level descriptions nor the Benchmarks will capture all the possible variations. Therefore, classifiers must exercise prudent judgement when applying BFM to positions within their jurisdiction. When making factor level and benchmark comparisons, inter-agency consistency as well as the intra-agency hierarchy should be kept in mind.

Application Procedures

Application of BFM, like any position classification process, involves three basic steps: job analysis, job evaluation, and documentation. Job analysis means collecting information about the position through the job profile and other sources, such as conversations with the supervisor or incumbent. Job evaluation applies the benchmark factoring methodology to determine the appropriate factor level for the job. Documentation summarizes the job analysis and job evaluation in a written statement that explains and defends the classification decision. Instructions for writing job profiles, job analysis, writing job evaluations and other information are found elsewhere in this manual.

The BFM job evaluation process involves the following:

1. The classifier may first choose the class series by comparing the duties of the position to the kind of work described in the class series discussions. Analysis of the education and experience necessary to perform the assigned duties also helps the classifier choose the correct class. This step helps the classifier select benchmarks for

comparison, though comparisons can be made to benchmarks outside of the class series.

2. The classifier compares the duties and responsibilities assigned to the position to the factor-level descriptions, selecting the most applicable description based on the nature of the predominant work.
3. The classifier relies on the Benchmark descriptions to corroborate the evaluation of the position. The Benchmarks demonstrate the factor-level ratings given to similar jobs and provide for consistent application of the factors. In those instances where the Benchmark lacks a particular characteristic, Benchmarks for other occupations can be consulted. Benchmarks also provide important information about occupations.
4. The factor level selected is the pay band assignment. No further calculations are needed.

Non-benchmark positions cannot be used to factor level allocation. All factor levels must be supported by comparison to published benchmark positions, whether or not they are in the same class series. However, the classifier may refer to the factor-level ratings given to other positions in the occupational series to confirm the proper factor-level assignment. This step is not required, but may serve as a means to promote consistent application of the factor levels between agencies.

Class Development Policy

Classification results in assigning a position to a class. Classes include a class series or occupational title and a band level. For example, Civil Engineer Specialist, band 5, describes a specific occupation, civil engineering, at a given level of work, factor level 5. There are other classes of Civil Engineer Specialist representing bands 5 through 7. The type or nature of the predominant duties determines the class series assignment.

Purpose of Job Classes Job classes sort related types and levels of work to compare occupational data. In market and salary surveys, they relate work to compensation and help insure consistency of pay standards. By grouping similar types of work, they provide an overview of the distribution of occupations throughout state government. Classes identify groups of positions involved in similar types of work or similar occupations, which can be used for EEO analysis. Classes and class series discussions do not identify single positions except in a very few defined cases. This section describes the method for requesting a new class, creating a class, and titling conventions for state occupations.

Pay plan 20 provides for market-based pay, which uses comparisons to how other employers compensate employees in similar jobs. Accurate market comparisons for the purpose of setting pay bands make accurate class series assignment critical.

The predominant work or duties must be compared to the class series discussions and the appropriate series selected. Benchmarks may be helpful in deciding on the appropriate class series, along with comparison to similar positions both inside the agency and throughout state government. Mixed positions will be more easily dealt with as separate part-time jobs than as a single job.

The Bureau will consider establishing separate classes for specialties if this improves administrative efficiency. Agencies may request separate classes for specific occupations or specialties if experience and market data indicate the need.

Requesting development of a new class: A class is identified by an occupational title, pay band and class code. The Bureau maintains the lists of classes and class or job code numbers by reviewing the inventory and adding or removing classes and by writing or revising class series descriptions. Additional classes can be added to the current inventory using the following procedure.

Request for Class Development

The Bureau develops new classes when the need for a new or additional class arises.

- ♦ Delegated agencies should submit Requests for a new class through their Human Resource offices. When the Bureau classifies a job that needs a new class, it will develop the job code and occupational title as part of the classification. The Bureau will add class series discussions as needed with the development of new classes.
- ♦ The Bureau will not develop classes for positions that have not been reviewed and evaluated.

- ◆ Requests for new job codes must include a job profile that includes the evaluation of the work, any additional information used in evaluating the position, and a written request for a new class or job code. This request should give the suggested occupational title, class series and reason for a new class. Whenever possible, positions should be assigned to existing class series and classes.
- ◆ The Bureau will review the evaluation of the position to determine correct class series and pay band. If the review indicates a new class is needed, a new job code and occupational title will be developed using the following guidelines.

Criteria for Class Development

- ◆ The Bureau will develop classes for general occupational groups such as Administrative Support for all appropriate grades. These types of work typically have a high frequency throughout state government. There may be some differences in the work performed but the nature of the work is clearly covered by the class series discussion.
- ◆ New or current occupations with substantially different or unique work will have job codes and occupational titles assigned that reflect the nature of the work. Some reasons that could call for creating a new class include the following.
 - Recruitment issues make a distinct title necessary. For example, an agency needs a job-specific title to find and recruit qualified applicants. Compensation or other issues may make it advantageous to differentiate between positions.
 - The job requires specialized training, licensure or certification and the job title relates specifically to these requirements. For example, Physical Therapists, Occupational Therapists and Speech Therapists require occupation specific licenses and titles
 - There are collective bargaining considerations.
 - Legislation dictates the creation of a specific class of jobs.
- ◆ In all classes, working titles that identify a particular job within a work unit may supplement or clarify the occupational title. For example, Training Manager and Exercise Training Officer are working titles that identify specific positions assigned to the Training and Development Specialist class series.
- ◆ The Bureau will not develop new classes, job codes and occupational titles when:
 - The work is substantially the same as existing classes when compared to the class series discussion.
 - The position has not been evaluated under the Benchmark Factoring Method.
 - There are limited representative positions, unless they meet the criteria listed above. The work and associated knowledge, skills and abilities must be clearly unique and unrelated to other positions in state government.

Occupational Titles

Titles used must reflect position and predominant work, and should relate to job titles as found in the U.S. Department of Labor (DOL) Dictionary of Occupational Titles (DOT).

The following titling conventions apply to occupational titles in the class inventory for the Broadband Classification Plan. Working titles may differ; agencies are encouraged to use uniform occupational descriptions in order to maintain consistency in titles.

- ◆ The titles used for positions at classification factor level 1 or 2 may include the designation Clerk or Aide. Positions at this level frequently do not require specialized training beyond on-the job experience or training to perform the predominant duties. At level 2, the work may require some technical training, in which case the title may include Technician or a similar term.
- ◆ The titles used for positions classification factor level 3 or 4 may include the designation Technician. Positions at this level frequently require specialized technical level training.
- ◆ The titles used for positions classification factor level 5 and above may include the designation Specialist. Positions at this level usually require advanced technological training or professional training. The Bureau will consider other professional titles, such as Analyst or Consultant for positions at this level and above based on the work performed and common usage, such as Budget Analyst.
- ◆ The Bureau may approve other classified titles for highly specialized work or work that has a widely accepted occupational title in the private sector (for example, Portfolio Manager, LAN Administrator) when clearly demonstrated need exists. Whenever possible these titles will use the above titling conventions for the occupational title as listed in the class inventory. This does not limit the use of working titles to distinguish positions within the agency.
- ◆ Major occupational classes may include the managerial titles Supervisor, Manager, and Career Executive Assignment. Most "working" managers" or supervisory positions, except as required by collective bargaining, are grouped with the primary occupation supervised. Managers or supervisors that do only managerial work will be grouped separately.

Examples of supervisory or managerial titles:

- IT Supervisor
- IT Manager
- IT Career Executive Assignment

Job Code Numbering Conventions

The Bureau would have preferred using the current Standard Occupations Classification (SOC) codes when designing job codes. However, limitations in SABHRS do not allow that at this time for state occupational classes. SOC class codes would take up the entire six digits allowed in SABHRS without making the distinctions possible in our current numbering system. The Bureau will develop a crosswalk between the state job codes and the SOC system for future use. The current numbering system relies on the Dictionary of Occupational Titles, which uses the first three digits to differentiate classes of work. Knowing how these numbers were derived is helpful to classifiers when trying to find an appropriate class series for a position.

Designated Bureau staff will assign job codes to occupational classes using the following numbering conventions.

- ◆ First three digits: Uses the current DOT numbering system that identifies occupational titles. Whenever possible, the DOT title or a similar title will identify the occupation.
- ◆ Fourth digit: This digit distinguishes the Statewide Classified Plan job codes from those in the new Broadband Classified Plan. Numbers 0-4 indicate Statewide Classified Plan job codes. This digit breaks general occupational groups into more specific state occupational groups. For example, job codes beginning with "168" identify occupations involved in inspection or investigation. This digit distinguishes between occupations such as Compliance Specialist, Child Support Investigator or Livestock Inspector.
- ◆ Fifth digit: This position allows for a further class series distinctions. Generally, the fourth and fifth digits differentiate between class series that fall within the broader occupational groupings identified by the first three digits. For example, within the "1686" grouping of investigators, "16866" indicates Livestock Investigator and "16868" Lottery Investigator.

To demonstrate a supervisory hierarchy, if available numbers permit, the fifth digit may identify various management levels as follows:

- 7 = Supervisor
- 8 = Manager
- 9 = Career Executive Assignment

When these numbers are used in the Job Code number, the Job Title will reflect the management level (for example, 031576 - IT Supervisor; 031587 - IT Manager) or supervisory relationship.

- ◆ Sixth digit: Identifies the pay band allocation (1-9) in the Broadband Classified Plan. The Classification Factor level determines the pay band.

HR Standards and Services Bureau Responsibilities

In the matter of personnel classification, the Human Resources Standards and Services Bureau (the Bureau) of the Department of Administration (the Department) **develops** and **maintains** the personnel classification plan for all state employees, with some exceptions. Sections 2-18-101-107, MCA describe groups of employees, such as the personal staff of elected officials, which are exempt from the classification provisions of part 2.

Development

- ◆ The Bureau may adjust the criteria used for allocating positions. Included are adjustments to: a) the factor level descriptions, b) class series, and c) benchmarks.
- ◆ The Bureau will consult with representatives of bargaining units when changes to the factor descriptions, standards, or the point ranges affect covered employees. (2-18-203 (1), MCA)

Maintenance

- ◆ The Bureau adjusts the classification of positions to reflect significant changes in duties and responsibilities. (2-18-203 (1), MCA)
- ◆ The Bureau investigates and responds to employees' classification appeals.

Technical Assistance to Agencies

- ◆ The Bureau has responsibility for the integrity and oversight of the classification methodology and provides technical assistance and training to agency staff. Training includes classification principles and practices and writing job profiles.
- ◆ The Bureau provides interpretations of classification issues and provides advisory opinions on the classification of work.
- ◆ The Bureau conducts classification reviews of occupations, series, or organizational units to establish correct classifications upon request by agencies and as staff time and work load permit.

Monitoring Delegated Classification Authority

- ◆ 2-18-102 (2), MCA allows the department to delegate authority granted to it under parts 1 and 2 to agencies that effectively demonstrate the ability to carry out the provisions of parts 1 and 2, provided those agencies comply with the policies, procedures, timetables and standards established by the department. Delegation requires a method of ensuring agencies demonstrate the ability to classify positions following the policies, procedures and standards established by the department. The Bureau's personnel classification responsibilities include review of classification actions by agencies that have delegated classification authority to ensure appropriate documentation and

consistent application of the classification principles or when a pattern of improper classifications and disregard for the BFM procedures exists.

- ◆ The Bureau shares the results of classification reviews and provides information, training and support to agency classifiers to help them maintain inter- and intra-agency consistency in the application of the classification principles.
- ◆ Under current delegation agreements, the Bureau may revoke or suspend an agency's delegated authority for classification if there is a pattern of improper application of the classification principles or other failure to meet the terms of the delegation agreement.

Agency Authority and Responsibilities

In the matter of personnel classification, the Department may delegate the authority to classify positions to agencies. A formal delegation agreement outlines the responsibilities of the agency regarding classification.

Position Management

- ◆ Agency managers assign the duties and responsibilities performed by each subordinate position. 39-31-303 MCA
- ◆ Agencies maintain a current and accurate position description for each position.
- ◆ Agency supervisors ensure that the work employees perform is the work described by the job profile and work with employees and managers to maintain updated profiles that accurately describe the work.
- ◆ Agencies without a delegation agreement must provide a new position description and other appropriate documentation to the Bureau when the duties and responsibilities of a position substantially change. The agency shall request a review for proper classification.
- ◆ Agencies with delegation agreements are expected to publish new or revised job profiles and job evaluations in a directory that the Bureau and other agencies can access. The Bureau will review overall classification actions regularly for upgrades and downgrades and will request posting of this documentation if it is not found. In addition, the Bureau will review random classification changes for accurate application of the Benchmark Factoring Method.

Communication with Employees regarding Classification

- ◆ Agency managers and supervisors should inform employees about classification actions that affect them, including position and occupational reviews.
- ◆ Agency officials must inform employees of their rights and responsibilities regarding the classification system, classification procedures, and the classification appeals process.

Participation in Occupational/Organizational Reviews:

- ◆ Agency managers are expected to provide background information regarding their use of occupations for classification reviews.
- ◆ Agency managers and supervisors will have the opportunity to review drafts of classification standards as they are developed, and they may provide comments regarding their accuracy and adequacy.

III. SINGLE FACTOR CLASSIFICATION LEVEL

Level Definitions and Application

Broadband Classification System

Introduction

The classification factor measures the difficulty of work processes or methods, and the difficulty of the mental processes necessary to identify what needs to be done, and the knowledge and skills needed to perform the predominant work at a minimally acceptable level at the beginning of employment. The factor assumes that as the difficulty of work processes or decisions increases, so does the level of education and experience needed to perform the work.

The number and relationship of things that must be considered in performing the work define the level of work. The answers to the following questions will help determine the proper classification factor level:

- What choices or decisions are required to perform the assigned work?
- What factors or information must be considered in making these choices and decisions?
- What is the nature and relationship of the factors or information? Are they complete and directly applicable, or do they involve unusual circumstances and incomplete or conflicting data?
- How are procedures or processes carried out?
- What is the typical level of education and experience required to perform the work?

Difficulty and originality increase as differences in courses of action, refinement of methods, or development of new techniques, concepts, theories, or programs are necessary to solve problems.

The originality and resourcefulness required to solve problems and the difficulty of the problems solved have a direct effect on the level of knowledge and skills needed to perform the work. Generally the level of education and experience needed to perform the work increases as the difficulty of the work increases. This factor considers the knowledge or skills necessary to perform the predominant duties assigned to the position at a **minimally acceptable** or entry level. In other words, what is the lowest level of competence needed to accomplish the work. It does not include experience, education, or training developed on the job after appointment or the level of competence that might be expected of an experienced or top performing employee.

Evaluation of this factor is based on qualities inherent in the work itself, apart from the organizational or functional setting. For example, two positions in the same organization perform similar duties and tasks, report to the same supervisor under similar levels of

supervision. Both positions require a significant amount of time spent gathering and analyzing data. One involves developing models and designing studies, gathering and analyzing data to develop and test solutions to unique problems. The other position gathers and analyzes data to determine how results compare to standards or to modify established processes to more efficiently resolve recurring problems. The mental processes involved in the predominant work make the first position more difficult.

The Benchmark Factoring Methodology as outlined in the previous chapter applies to this factor. The number of duties or amount of work at a given level of difficulty does not increase the factor level assigned. It is assigned based on the difficulty of the work performed at least 50 percent of the time. More work or additional duties do not necessarily increase the overall difficulty of the work or the factor level assigned. Knowledge or skills that may be needed to perform non-predominant work at a higher level than the predominant work can be considered when setting proficiency levels and in setting pay within a pay band, but do not increase the overall classification factor level.

There are considerations that will affect pay outside of the classification of a given position. For example, organizational changes may result in more duties at the same level of difficulty. This would not affect the allocation of the position to a given pay band, but management may choose to recognize the change through pay. For example, an agency can use a pay strategy such as a lump sum payment to recognize a temporary change or increase in duties. Non-predominant work at a higher level than the classified level can also be considered in setting pay within the classified pay band.

Application Guidelines

Classification factor levels are established in a logical hierarchy from the least difficult or complex to the most difficult. The first level consists of simple clear-cut procedures with few steps and limited choices based on easily recognized facts or objects. On the other hand, the highest level involves developing or applying complex systems, resolving critical problems that may require synthesis of conflicting concepts or viewpoints to reconcile opposites into a unified whole; choices are frequently ambiguous based on accurate interpretation of vague concepts or legislative intent.

Each factor level discussion includes:

- A statement of the mental and physical operations involved in applying procedures, techniques, or theories when performing the predominant work. This includes a description of the typical work elements and examples of tasks at that level of competency.
- Typical work examples demonstrating the application of the intent of the factor level language.
- A description of the knowledge or skills needed for minimally acceptable performance of all duties and the education or training and experience **typically** needed to perform them.

The descriptions of the knowledge and skills typically need to perform work at each classification level are somewhat different than those found in the Statewide Classification Plan. In that system Knowledge, Skills and Abilities KSA) is a separate factor that applies to the non-predominant work as well as the predominant work. Therefore, it is possible for a position to have different levels for Complexity and KSA, with the latter usually higher to account for non-predominant work that is more difficult than the predominant work. The single classification factor applies strictly to the predominant work and in order to ease the transition from the Statewide Classification Plan to the Broadband Classification Plan, the typical education and experience levels were adjusted to help take this possibility into account. In addition, salary and job comparisons using the single factor, which considers only the difficulty of the tasks and duties, have shown that the education and experience levels as stated here are more consistent with the level of work described. These education and experience statements are **not** intended to replace analysis and evaluation of the job duties in terms of the factor level descriptions.

Following the factor level discussions are lists of current benchmarks, both by class code and by factor level.

Definitions of terms used in the classification factor descriptions:

- **Knowledge** is the technical or professional information acquired through formal education, training, or personal experience needed to perform the job. Knowledge may be either "knowing about something," or "knowing how to do something." Knowledge can be obtained in a variety of ways besides formal education. Job evaluation should consider the breadth or depth of knowledge needed rather than the specific means of gaining it.
- **Skill** is the proficient application of knowledge or training, and behavior in completing a job, tasks or duties that involve physical or mental activities performed with ease and precision. The demonstration of skill implies the possession of prerequisite knowledge and abilities used actual physical or mental activities, such as operating various types of equipment or performing mathematical calculations.

- **Behavior** describes the way a person acts under given circumstances. This observable information about personal characteristics provides evidence that needed abilities exist. The single classification factor uses the term ability to describe areas in which an employee will need to demonstrate specific behaviors.
- **Ability** is a capacity or propensity to acquire the skill needed to perform a specific task or duty. Abilities are broader, more abstract aspects of human performance than knowledge or skills. Having or using an ability implies having and using a certain level of knowledge. For example, knowledge of arithmetic is required for numerical reasoning ability.

Required knowledge or skills must correspond to the worker characteristics needed to perform the essential work as documented through job analysis. A growing body of case law and federal guidelines make it clear that the application of minimum qualifications is a "test" in the same sense as an aptitude or performance test. Creating knowledge or skill requirements that cannot be demonstrated to be job-related causes an adverse impact on women and minorities, and has been found to constitute discriminatory practices by the Equal Employment Opportunity Commission and the courts. Therefore, accurate classification requires careful matching of the qualities or difficulty of the work with the knowledge and skills required for performing it.

Using the Classification Factor Level Definitions

Allocating a position to a particular factor level requires evaluating the job duties by comparing the predominant work to the factor level descriptions. The classifier should focus on the intent of the factor level language rather than the descriptions of the typical education and experience required at each level. Any consideration of education and experience levels is secondary to this comparison and may not be used to determine or justify factor level allocation. The education and experience statement can be used to help verify correct factor level choice. The classifier should follow these steps:

- ◆ Identify the predominant work using the **predominant duty rule** described in the previous chapter.
- ◆ Compare the **predominant** job tasks and duties as described in the job profile or position description to the factor level descriptions, beginning with level 1 and reading up to the first level that completely describes the predominant work.
- ◆ Select the factor level description that best describes the **predominant** work of the position according to the application principles described in the methodology chapter. The factor level language, not the education and experience, determines level assignment.
- ◆ Compare the work to similar benchmarks. Benchmarks that include all seven factors may be used if necessary. In this case, only the complexity argument should be compared to the work in the subject position. The level of knowledge and skills required to do the predominant duties in the benchmark can be reviewed as a final check, but should not be used to justify the comparison if the predominant duties in the benchmark and the subject position are otherwise not at the same level.
- ◆ As a final step to verify factor level allocation, the classifier may compare the typical level of education and experience for the factor level with the level of knowledge and skills stated in the job profile. This comparison may not determine the overall classification factor level.

Generally the factor level definitions apply to the characteristics of the non-supervisory duties. Supervisors, managers, and executives have varying degrees of responsibility for the employee-employer relationship, covered by federal, state, and agency regulations, requirements, and policies. The depth of responsibility depends on the position's responsibility for supervising or managing people. Some supervisors, managers, or executives may not possess subject matter knowledge equal to that of the subordinates; however, they must have knowledge of supervisory and managerial practices. For instance, a manager may not have working knowledge of jurisprudence, but may be responsible for supervising an attorney. Supervisory duties that relate to supervising people are treated as a separate compensation issue.

Classification Factor Levels

Level One

Work involves limited steps in which choices are apparent with proceeding steps depending on previous steps. Procedures are clear-cut and work elements are easily recognized objects that are commonly distinguished from other features. Data (or objects) are transferred from one format (or location) to another without making changes or corrections. Work requires basic literacy and the ability to operate simple tools and equipment.

Work Examples

Office Clerk

Work consists of compiling, filing and mailing procedures that involve no more than a few steps. Each step, such as copying a document, compiling into a bin by addressee and mailing out in one weekly mailing, is dependent on the previous step. Such tasks are clear-cut and directly related. Typical work elements involve documents that have easily recognizable features such as attached written instructions, names, or alphabetical or chronological characteristics. Such work involves operating a copying machine by executing a few steps.

Laundry Worker

Work consists of simple, clear-cut procedures in the collection, laundering and distribution of bedding, towels and other linens. Work involves no more than a few steps where each preceding step is dependent on the previous step. The machinery, such as washing machines and folder/mangle, used requires only a few simple steps to operate and others perform any necessary adjustments or maintenance to the machinery.

Food Service Worker

Work consists of a number of easily learned tasks in the setting up of food for consumption, cleaning and sanitizing food service equipment and food service areas. Well-established work methods and guidelines that leave little discretion determine the course of action. Few variations exist within assignments. Tasks are frequently repeated. The work involves the use of a dishwasher that is operated by executing a few steps.

Typical Education and Experience: this statement supplements the description of the work and may not be used to justify factor level allocation.

The knowledge and skills needed are typically reached through completion of education or experience beyond grade school, up to a high school degree or equivalent training and experience. Any further training is typically acquired on the job.

Level Two

Work involves the semi-skilled to skilled application of a combination of procedures, methods and techniques to routine, recurring assignments. Procedures are frequently repeated and involve related or sequential steps; the order of processes or operations may vary to efficiently accomplish the work. Data or work elements are compared, corrected or brought into compliance with established standards or criteria. Typical work elements are categorically related but may have different requirements or include a combination of processes in order to complete a task. Work requires sufficient knowledge of work processes to identify factual differences between a number of recognizable situations to properly choose and sequence activities or processes.

Work Examples

Office Clerk

The work involves the skilled application of closely related methods to routine, recurring assignments. Tasks related to the finding or assigning of tax account numbers involve several steps that may vary in order to efficiently sequence tasks. For example, searches may be made to locate the tax account number for a payment, and it may turn out that the business does not have an established account. This would then require entering the business on the system and assigning an account number. Such work, as well as batching, logging and processing forms, involves actions that require discerning differences of a factual nature between a few recognizable situations. Examples include separating forms based upon the type and completeness of the form, and adding up totals from one set of forms and comparing to totals on another form.

Employment Services Assistant:

Work consists of semi-skilled application of a number of related methods and techniques in data entry, unemployment insurance claims-taking, public contacts and interviewing. Assigned work includes comparing details on unemployment insurance forms and registration forms with standards, noting deviations from the standard and making minor corrections to bring forms into compliance.

Baker

Well-established procedures and sequential steps govern the kind and amount of product to be made. Procedures are frequently repeated and assignments are generally recurring. Duties include multi-step procedural assignments involving the determination of appropriate procedures and processes. For example, this position would follow a standard recipe in order to make a cake and would make appropriate procedural decisions based upon flavor or type of cake required as well as ingredients available.

Licensing, Certification & Permitting Clerk

The licensing and renewal processes involve discerning whether certain materials are included with the application, such as an exam and passing score, documentation of inspection, documentation of good physical health or correct fee. This involves discerning differences of a factual nature between a few recognizable situations. Tasks in the process may be problematic because of the sequencing and may vary depending upon information

submitted. For example, while some applications received may include all the information necessary for licensing, others may not. If the proper information is not included, the proper procedure may require referral to an inspector or back to the applicant for resolution/correction depending on what is missing.

Typical Education and Experience: this statement supplements the description of the work and may not be used to justify factor level allocation.

The required knowledge and skills are typically acquired through completion of a high school degree and 1-2 years related experience and/or training, or the equivalent.

Level Three

Work involves systematic, detailed, skilled application of related methods and techniques, and examination of multiple procedural or technical variables. Typical work requires the selection of appropriate courses of action based upon identification and examination of data. Decisions are based on a combination of variables that are readily observable in nature, and modification of the structure of work elements, the content of the data, or basic work formats. Work requires the knowledge of appropriate standardized procedures, or sources of information, and the ability to determine courses of action based upon standardized rules and regulations, or the skill to operate tools and equipment that require some training or the completion of on-the-job training programs.

Work Examples:

Clerk Supervisor

Assigned work is illustrated by examining the observable and functional characteristics of various driver privilege documents, new or amended driver control actions and processing errors; and determining a course of action based upon a combination of variables. This is the selection of appropriate courses of action based upon identification and examination of the data.

Accounting Technician

The position reviews/examines vendor and SABHRS data to process claims and respond to claims inquiries. The tasks related to the processing of claims are procedural and the practices and techniques are all well established. The position is required to determine the adequacy of the information and its conformity to programmatic procedures and policies. Skilled application of relate methods/techniques and examination of multiple procedural variables is characteristic.

Licensing, Certification, and Permitting Technician:

Assigned work consists of the application of systematic and detailed procedures such as verifying training, out-of-state status and qualified sponsors, and administering examinations. The assignments are categorically related certification or re-certification but have features such that different processes are applied. The incumbent must decide a course of action depending on a combination of variables in the certification process. This is the selection of appropriate courses of action based upon identification and examination of this data. This work is not highly detailed, diverse nor does it involve unrelated methods and techniques.

Eligibility Assistant:

The work consists primarily of systematic and detailed procedures. The knowledge of a body of standardized rules and regulations and basic office procedures. Requires a general knowledge of interviewing techniques to gather information through initial client contact. This is the selection of appropriate courses of action based upon identification and examination of this data. The ability to select the appropriate procedures and sources of client information is necessary to proceed with benefits determination. Decisions are based on a combination of variables that are readily observable.

Duplicating Press Operator:

Assignments are somewhat varied, involving the skilled application of several related methods and techniques. Must have the ability to carry out complex printing procedures, selecting proper procedures and methods to complete the process. Decisions require modification of the structure of work elements, the content of the data, or basic work formats.

Maintenance Worker:

This position performs a wide variety of related manual and semi-skilled work, repairing and maintaining buildings, grounds and related facilities. The assigned work requires the ability to choose the correct procedures from a variety of systematic and manual and semi-skilled maintenance methods and techniques to accomplish tasks.

Typical Education and Experience: this statement supplements the description of the work and may not be used to justify factor level allocation.

The required knowledge and skills are typically acquired through completion of high school and 2-4 years job-related experience and/or training.

Level Four

Work involves seeking out and gathering data that is not readily available, summarizing and drawing conclusions from data, and/or fabricating and composing work elements into new arrangements. Procedures include: interpretation of data, information and guidelines; coordinating pre-determined, sequential activities to complete projects in a project-driven work environment; and evaluation of related procedures and circumstances. Work requires knowledge of an occupationally specialized vocation, in which procedures may be modified to fit conditions.

Work Examples

Accounting Technician

Work involves the interpretation to the applicability and intent of contract language. Prior to interpretation of data, this position may need to gather data that isn't readily available through the location and extrapolation of the data from the contract then summarizing and drawing conclusions from this information. Assignments are varied and reflect a range of accounting activity. Methods are unrelated because of the diverse financial functions.

Information Systems Operator

Work involves gathering data from users that may not be readily available when interpreting the nature of the connection to the state system. This position involves a variety of assignments that require the interpretation of data and drawing conclusions as to the appropriate corrective action to be taken.

Electronic Equipment Technician

Work requires searching, interpreting, and summarizing information needed in order to troubleshoot hardware problems. Work elements involve gathering data that requires interpretation of a combination of variables and resolution of problems.

Licensing, Certification and Permitting Specialist

Work involves the skilled application of detailed methods and techniques. This position is responsible for various detailed licensing/certification/permitting processes, which involve a variety of subsidiary processes as well as for less routine, recurring work such as monitoring licensees by facilitating a detailed complaint process. This position provides input into the rules, regulations and legislation governing the licensing, certification and permitting program processes by searching for and/or gathering data that isn't readily available and requires interpretation. This input involves fabricating or composing new or significantly modified guidelines.

Maintenance Worker

Work involves less routine, unrelated assignments such as constructing cabinets, repairing boilers, rewiring electrical circuits, or replacing plumbing parts. Requires fabricating or composing new or significantly modified objects such as carpentry, electrical, and plumbing duties. Work also consists of skilled application of a number of unrelated methods and

techniques to a variety of maintenance assignments. This position performs skilled work and supervises the repairing of heating and plumbing systems and duties in electrical, carpentry, welding, masonry and plumbing work of a maintenance nature.

Typical Education and Experience: this statement supplements the description of the work and may not be used to justify factor level allocation.

The required knowledge and skills are typically acquired through the completion of high school followed by 4 or more years of job-related experience **or** completion of a work related vocational program or post secondary curriculum and 2 or more years of job-related experience.

Level Five

Work involves the application of professional principles and practices to perform standard, recurring professional assignments. Procedures require analysis of interrelationships of multiple variables and their applicability to practical problem solving. Data may be conflicting or scarce, and work assignments require extraction of data from a wide variety of sources, and determination of its applicability, suitability and quality. Work requires professional knowledge of the rules procedures, methods or operations related to an occupation or a professional field and the ability to apply these to a practical level of problem solving.

Work Examples

Administrative Officer

Work involves using intellectual analysis and evaluation and the application of professional principles and practices to the standard activities of grant administration and writing. Work elements involve procedures that include extracting and considering data regarding reclamation activities and refining procedures based on changing standards from the Office of Surface Mining. The position interprets data to determine the best methods and procedures to expedite obtaining grant monies and selecting contractors to accomplish project activities. Assignments are routine in that basic methods and procedures for the grant and project process are in place. Work elements such as tracking complex grant procedures and assuring staff and contractor compliance with regulations require extended experience with agency procedures and requirements.

Registered Nurse

The work consists of intellectual analysis and evaluation in the application of principles and practices of nursing to professional assignments. Assigned work involves extracting information from the patient; examining details of the patient's medical history and present illness, considering the applicability of information including the symptoms associated with a variety of illnesses and resolving medical problems. This work requires solving practical problems by determining how the concepts of nursing and the instructions found in standing orders apply to each patient.

Engineering Project Technician

The work consists of advanced technical assignments involving the application of design plans and specifications and highway construction procedures to projects in order to resolve practical reconstruction or construction problems. Typical work elements involve a full range of work from coordinating and estimating a wide range of project data to resolving contractor conflicts by interpreting and correlating data from designs and determining how highway construction standards apply or how specifications should be applied based on site circumstances. Projects assigned typically include intricate urban projects, projects with difficult or unusual terrain details, or projects that have unusual or advanced technological processes.

Typical Education and Experience: this statement supplements the description of the work and may not be used to justify factor level allocation.

The required knowledge and skills are typically acquired through the completion of a Bachelor degree and 0-2 years experience.

Level Six

Work involves the application of the principles and practices of a professional field to diverse assignments in which conflict situations, ambiguous concepts or divergent views are typical. Work requires developing policies, new methods or techniques to resolve sensitive problems through individualized solutions to recurring problems or situations, based on data that is complicated and intricate. Plans or designs must be oriented to complex or uncommon sites, circumstances or natural resource features. Plans and approaches are based upon extensive information, or numerous variables and include determining the relative importance, and value of the data or variables. Modification and testing applications of known and accepted processes to new applications involves diverse parameters and work includes testing for soundness of approach. Work requires demonstrated skill and professional knowledge of a breadth of issues associated with an occupation applicable to complex and/or diverse assignments.

Managerial Level Six: Management of professional or mixed technical and professional work units; practical management issues and applications; limited range of management activities including revision and adaptation of methods and procedures & interpretation of complex practices, principles or regulations.

Work Examples

Compliance Specialist

Resolving complaints from insurance consumers requires considerable research and interpretation of actions of insurance agents, agencies, or companies. Complaints may be based on highly complicated underwriting issues, conflicting information, and misunderstandings, or in extreme cases, criminal intent. Work elements include determining chain of events, agent representations and intent, which is frequently unclear or ambiguous.

Programmer Analyst

Work consists of intellectual analysis and evaluation in applying the principles and practices of system design and computer programming to difficult, diverse assignments. Work requires assessment and development of applications systems. It involves determining the nature of relationships among diverse programming variables, requirements, and systems capabilities in the development of programming solutions.

Engineering Project Manager

Work involves advanced technical and project management work in administering, planning, and coordinating multi-faceted and diverse construction contracts. Projects include numerous contractors and sub-contractors. Duties require interpretation and adaptation of design plans, resolution of designs to complex on-site project characteristics, and frequent conflict resolution with public and private entities. Analysis is required to make exceptions to guidelines and standards and adapt engineering design plans and specifications. Decisions are frequent and highly technical in nature.

Registered Nurse

The work consists of intellectual analysis and evaluation in the application of principles and practices of nursing to diverse professional assignments. Patient data is complicated and

involved, and may be ambiguous, requiring interpretation or assessment of divergent views. Assigned work involves resolving difficult and sensitive medical and psychiatric problems through the interpretation or development of policies, techniques and methods. Developing nursing diagnoses and treatment recommendations includes determining the relative importance of diverse variables to develop solutions and treatment plans for each patient. Although work assignments are generally recurring in that the assessment, diagnosis and the development and implementation of treatment plans are always evident, the approach taken to resolve patient problems is individual to each case.

Managerial Work Example

Water Resources Regional Manager

Responsible for overall operation of multi-programmatic functions in regional field office. In assigned region, coordinates program activities with other federal and state agencies, other organizations, and public. Works with Bureau Chiefs, who represent various programs, to establish program goals, objectives, and work plans. Frequently, must assess conflicting situations among parties and resolve problems that involve interpretation of policy, precedent, and legal statutes. Develops and proposes policy and procedure to meet regional needs. Frequently, work involves unique and non-recurring elements.

Typical Education and Experience: this statement supplements the description of the work and may not be used to justify factor level allocation.

The required knowledge and skills are typically acquired through the completion of a Bachelor degree and 2-5 years related experience, or Master degree and 0-3 years experience, or a Juris Doctorate degree and 0-2 years of experience.

Level Seven

Work is conceptual/ theoretical in nature, and covers a range of topics in which data are typically subject to interpretation, are extensive and diverse, and in which relationships are ambiguous and undeveloped. Work is characterized by significant depth of analysis. The work involves the testing and application of theory to develop solutions to intricate and unique problems, or the creation of new design concepts and criteria for applications having minimal or limited precedents or guidelines. Coordinating segmented efforts to achieve cohesive approaches is characteristic of the work. Assignments are diverse and non-recurring and may involve testing the soundness of concepts or standards themselves or developing standards and parameters that determine policy or new approaches in a professional field. Typical tasks may include designing tests, studies, or data-gathering systems that lead to the development of standards or new approaches in a professional field, devising and evaluating concepts for approaches to new applications, devices, or broad policies, or developing models, prototypes, and systems that fill in gaps current knowledge. Work requires professional knowledge, skill and ability sufficient to independently extend existing and accepted practices, rules, laws and policies.

Managerial complexity: Management of highly specialized or diverse professional work units; advanced management issues and applications; broad range of management activities including frequent organizational and operational changes, significant policy decisions & pivotal interpretations of conflicting federal, state and other regulations.

Work Examples

Information Systems Support Specialist

Develops statewide direction for software acquisition using knowledge of theories, principles, and practices of computer science; data management products; network capabilities; and computer operating systems, equipment, and software for both microcomputers and mainframe computers. The work requires substantial depth of analysis in the development of statewide software directions, training programs, and applications programs. Assigned work is developmental and involves evaluating new products, determining the importance of diverse software elements and the technical and budgetary consequences of implementation of new products on state agencies. Requires knowledge of concepts, theories, and developmental aspects of computer science, operating systems, equipment configurations and interrelationships, and software applications for both microcomputer and mainframe computer systems and the ability to independently apply the knowledge to develop new practices and procedures and to meet state agency demands.

Forensic Toxicologist

Determines the nature and extent of chemical involvement in a human death. The work involves substantial depth of analysis to determine cause in an unexplained death. Data analyzed cover a broad range of chemical, toxicological, pharmacological and biological concerns. Information includes facts such as apparent circumstances of death and details and evidence in the investigation that are unclear or are developing. This position performs chemical trace analysis that is unusually subject to interpretation due to the potency and

toxicity of many drugs at extremely low levels, extensive pharmacological data due to rapid developments in new drugs and the infinite variety of available drugs. Work assignments involve determining the relative importance and value of diverse elements, characteristics of interrelationships and consequences of alternatives. For example, it is important to consider how the body fluids and tissues behave before and after death and where in the body certain toxins usually accumulate, how they are metabolized, and how they affect the body before a sample can be drawn for analysis. Gaps in information related to drawing appropriate samples are filled by the other facts of the investigation as well as chemical analysis. The breadth of unknowns, interplay between variables and potential for combinations is extensive. The work requires knowledge of a wide variety of applications in the toxicology specialty of forensic science, and the ability to independently apply this knowledge for the purpose of resolving cases of human death which may be precedent setting in nature and set the standard for other Forensic Toxicologists.

Managerial Work Examples

Engineering Manager

The position is responsible for the administration, supervision, direction, and coordination of the materials used in pre-construction, construction, maintenance, and bridge work. The work includes budgeting, planning, organizing and directing the activities of a major engineering function utilizing a knowledge of the theories, principles and techniques of civil engineering and materials engineering and a knowledge of administrative and personnel management. Work consists of managerial planning, coordinating, and implementing a diversified bureau of the highway engineering program composed of a range of technical and professional engineering functions. The work includes responsibility for the accuracy and quality of materials used in highway construction, the fabrication and testing of bridge materials, the investigation of geological abnormalities, and the quality and extent of related research projects. The work involves the resolution of materials problems which may require substantial technological analysis and re-search development. The incumbent develops materials policies and guidelines on materials related issues.

Resource Program Manager

Directs departmental programs within an assigned geographical region, including forest programs and subprograms, land use programs, and agricultural programs. Requires knowledge of multiple areas of resource management, budgeting and fiscal systems, personnel and organizational management, and a variety of state and federal laws and departmental rules and policies related to land management. The work consists of intellectual analysis and evaluation, applying the principles and practices of resource management using different and unrelated approaches and methods applied to a broad range of management assignments. The work includes devising new approaches and policies based upon diverse elements, their relative value and importance, and the consequences of alternatives. Managerial issues include coordinating the efforts of subordinate staff, cooperating counties, private individuals and industry, and other state and federal agencies to develop and achieve cohesive approaches to difficult and unique land management problems.

Typical Education and Experience: this statement supplements the description of the work and may not be used to justify factor level allocation.

The required knowledge is typically acquired through completion of a Bachelor degree and 5 - 8 years experience, or Master degree and 3-6 years experience, or Juris Doctor degree and 2-5 years of experience or Ph.D. and 0-3 years experience.

Level Eight

Work involves the development and application of systems or technologies, in which issues, facts and concepts cover an extensive range of economic, political and legal issues. Processes relate to major areas of uncertainty in approach, methodology, technological development or unknown/conflicting phenomena or requirements. Public awareness and interest are high, and related laws, rules and regulations are undergoing frequent change. Assignments involve synthesis of a broad range of topics. Data and issues may involve the interrelationships between conflicting federal and state concerns, or technological problems involving extensive data, intricate calculations and conflicting requirements. Work requires in-depth professional knowledge and the ability to integrate data from diverse and unrelated sources, which may be in opposition, to direct or implement organizational plans and major policy decisions, and to develop and implement innovative and comprehensive solutions to problems.

Managerial complexity: Work in the management of diverse organizational structures that provide complex and critical services; in-depth management issues and applications including top-level public policy decisions based upon competing and conflicting issues and concerns and public mandates affected by state and federal economic, legislative and legal constraints. Management includes determining organizational goals, staff resource needs, and integrating various program activities into the mission of the larger organizational unit, analyzing resources, organizational structure, legislation, legislative intent and other variables to develop policies, objectives and implementation strategies.

Work Examples:

There are no benchmark examples of non-managerial work at this level.

Managerial Work Examples

Career Executive Assignment

The work consists of administering diverse professional and paraprofessional work units providing services statewide using knowledge of federal and state program policies, mandates, directives, and intents, various related federal programs, departmental objectives and goals, government organization and central administrative processes. The services provided are not highly scientific (involving technical scientific theory and synthesis applied to a highly specialized field). Policy decisions involve competing State, federal, public, and internal mandates and constraints that are subject to frequent change, and affect diverse and critical services. This position uses extensive statistics to make and defend assumptions and conclusions regarding program effectiveness, problems and direction. Frequent interpretation of federal or state legislative intent and mandate is required in order to resolve conflicting or potentially conflicting directives. Services must be integrated with separate local and regional services in widely dispersed areas of the state, each with unique requirements and potential conflicts. The work requires knowledge of the concepts and theories applicable to the administration of a professional field to determine the most efficient and effective delivery of services, given economic, social, legislative, and legal constraints.

Typical Education and Experience: this statement supplements the description of the work and may not be used to justify factor level allocation.

The required knowledge is typically acquired through the completion of a Bachelor degree and 8 or more years experience, Master degree and 6 or more years experience, Juris Doctor and 5 or more years experience, or Ph.D. and 3 or more years of experience.

Level Nine

Work is characterized by: development, implementation and/or application of convoluted management systems and technologies; breadth and intensity of effort involving several phases pursued concurrently or sequentially; isolating and defining unknown conditions; resolving critical problems, or developing new theories. Issues considered involve the need to reconcile conflicting laws, rules, legislative intent and/or viewpoints. The work involves in-depth, far-reaching inquiry and analysis of issues requiring the blending of disparate parts and elements into a whole. Processes require integrating analyses of data to discover facts and/or develop knowledge, concepts, or interpretations, and blending together the agency mission, relevant laws and administrative rules, new and developing legislation, rapidly changing technological, social, or other relevant issues into programs and actions to serve the affected public. Work requires knowledge of a professional occupation applied to in-depth and comprehensive inquiry and synthesis, to create innovative or novel solutions, and characterized by the breadth and intensity of effort required to isolate and define unknown conditions. This could include knowledge of government and administrative systems and practices, sufficient experience and skill to respond effectively to a highly sensitive public and associated political and agency relations, and the ability to assess hypothetical situations and impacts and consolidate a unified strategy in response to numerous critical issues and concerns.

Managerial complexity: Management characterized by innovative/novel applications of management theory; administers and directs essential public services and assumes role of chief state expert; develops overall agency missions and major policy aspects of related divisions and programs according to legislative intent or in the interest of the state. Serves as highest level technical contact for legislative committees through effective recommendations on intent and parameters associated with major state policies and laws.

Work Examples:

There are no benchmark examples of non-managerial work at this level.

Managerial Work Examples:

There are no benchmark examples of managerial work at this level.

Typical Education and Experience: this statement supplements the description of the work and may not be used to justify factor level allocation.

The required knowledge is typically acquired through advanced educational qualifications and 8 or more years of experience.

Current Benchmarks Listed by Class Code

Class Code	Series Title	Benchmark Title	Factor Level
005018	Engineering	Civil Engineer	7
005021	Engineering	Engineering Manager	7
005022	Designer	Design Plan Tech	3
005024	Designer	Designer	5
005026	Designer	Designer	6
005037	Engineering	Water Res./Hydrolics Engr.	7
005045	Engineering	Structural Engineer	6
005054	Engineering	Environmental Engineer	7
013010	Resource Management	Water Resource Reg. Mgr.	6
013019	Resource Management	Land Use Specialist	5
020016	Statistics	Statistician	5
020098	Information Systems	Info Systems Technician	4
020111	Information Systems	Programmer/Analyst	6
020122	Information Systems	Info Systems Supp Spec	6
020122	Information Systems	Info Systems Supp Spec	6
020124	Information Systems	Info Systems Supp Spec	7
022144	Laboratory Series	Chemist	6
029114	Environmental Specialist	Air Quality Specialist	6
029214	Environmental Specialist	Water Quality Specialist	6
029215	Environmental Specialist	Water Quality Specialist	7
029314	Environmental Specialist	Solid & Haz. Waste Spec	6
029315	Environmental Specialist	Solid & Haz. Waste Spec	6
029415	Environmental Specialist	Environmental Impact Spec	6
029508	Laboratory Series	Lab Technician	2
040014	Resource Management	Forester	5
040015	Resource Management	Forester	6
040046	Resource Management	Resource Program Manager	7
040051	Reclamation Specialist	Reclamation Specialist	6
040054	Reclamation Specialist	Reclamation Program Supv.	7
040071	Agricultural Specialist	Agricultural Specialist	5
040072	Agricultural Specialist	Agricultural Specialist	6
041057	Resource Management	Fish & Wildlife Biologist	6
041058	Resource Management	Fish & Wildlife Biologist	7
041216	Laboratory Series	Forensic Toxicologist	7
045019	Counselor	Employment Counselor	5
045075	Counselor	Substance Abuse Counselor	5
049002	Laboratory Animal	Lab Animal Tech	5
075010	Health Care	Registered Nurse	5
075011	Health Care	Registered Nurse	6
078114	Laboratory Series	Clinical Lab Spec	6
079002	Health Care	Licensed Practical Nurse	3
079011	Health Care	Recreation Therapist	6
079028	Health Care	Habilitation Specialist	4

090004	Financial Aid	Financial Aid Spec	4
100025	Library, Recrd, & Archivist	Librarian	5
100029	Library, Recrd, & Archivist	Library Manager	7
141110	Graphic Design	Graphic Design Tech	3
141113	Graphic Design	Graphic Design Spec	5
141114	Graphic Design	Graphic Design Supv.	5
160003	Accounting	Accounting Tech	3
160004	Accounting	Accounting Tech	4
160014	Accounting	Accountant	5
160018	Accounting	Accountant	7
160092	Fiscal Specialist/Officer	Fiscal Officer	6
160109	Accounting	Accounting/Fiscal Mgr	7
160134	Collections	Collections Technician	4
160212	Auditor	Auditor	4
160214	Auditor	Auditor	6
160215	Auditor	Auditor	6
161005	Budget Analyst	Budget Analyst	6
162010	Purchasing and Supply	Purchasing and Supply Spec	5
162033	Purchasing and Supply	Purchasing Agent	6
164002	MT Promotion Officer	MT Promotion Officer	6
164004	MT Promotion Officer	MT Promotion Officer	7
165007	Information & Public Ed	Information Specialist	6
165008	Information & Public Ed	Information Specialist	7
165014	Information & Public Ed	Public Education Spec	5
165017	Information & Public Ed	Public Education Spec	6
166010	Training and Development	Train & Development Specialist	6
166056	Personnel	Personnel Asst	4
166058	Personnel	Personnel Spec	5
166061	Personnel	Labor Relations Spec	6
166064	Personnel	Personnel Officer	6
166073	Personnel	Personnel Officer	7
166204	Employment Services	Employment Services Spec	5
166207	Employment Services	Emp. Services Supervisor	5
166214	Employment Services	Emp. Services Manager	6
166220	Employment Services	Employment Services Spec	6
168015	Compliance	Compliance Specialist	6
168100	Livestock Enforcement	Livestock Investigator	5
168103	Occ. Safety & Health	Occ. Safety & Health Spec	5
168131	Child Support	Child Support Inv	5
168135	Child Support	Child Supp Reg. Supv.	6
169019	Disability Claims Ex	Disability Claims Ex	5
169021	Disability Claims Ex	Disability Claims Ex	6
169033	Hearings Officer/Related	Hearings Officer	6
169107	Benefits Examiner	Workers Comp Benefit Exam	5
169181	Benefits Examiner	UI Benefits Examiner	5
169182	Benefits Examiner	UI Benefits Examiner	5

169204	Compliance	Securities Examiner	6
169239	Lic., Cert. & Permit	Lic. Cert. & Permit Tech	3
169243	Lic, Cert. & Permit	Lic, Cert. & Permit Spec	4
169313	Administrative Officer	Administrative Officer	5
169316	Administrative Officer	Administrative Officer	6
182016	Engineering Project	Engineering Project Manager	6
188049	Career Exec Assignment	CEA	8
188072	Resource Management	Park Operations Spec	5
188106	Health & Human Services	Human Services Specialist	6
188111	Health & Human Services	Human Services Manager	7
188121	Business Development	Business Development Spec	6
188123	Business Development	Business Develop Officer	7
188125	Business Development	Business Develop Manager	7
191039	Appraiser	Appraisal Specialist	6
191044	Appraiser	Personal Prop Appraiser	3
191046	Appraiser	Residential Appraiser	4
191047	Appraiser	Agricultural/Res. Appraiser	4
191048	Appraiser	Commercial Appraiser	5
195017	Probation and Parole	Probation and Parole Off	5
195018	Probation and Parole	Probation and Parole Off	5
195020	Probation and Parole	P & P Regional Supv.	6
195078	Eligibility Assistant	Eligibility Assistant	3
195081	Eligibility Examiner	Eligibility Examiner	4
195112	Social Worker & Related	Social Worker	5
195114	Social Worker & Related	Social Worker	6
195116	Social Worker & Related	Social Worker	6
205006	Employment Services	Employment Services Asst	2
205010	Lic, Cert & Permit	Lic, Cert & Permit Clerk	2
211002	Cashier	Cashier	2
213055	Information Systems	Info Systems Operator	4
215004	Payroll/Benefits	Payroll/Benefits Tech	3
215006	Payroll/Benefits	Payroll/Benefits Tech	4
219003	Accounting	Accounting Clerk	2
249023	Library, Recrd, & Archivist	Library Tech	3
249105	Administrative Support	Admin Supp: Office Clerk	1
249106	Administrative Support	Admin Supp: Data Entry Op	1
249107	Administrative Support	Admin Supp: Admin Clerk	2
249107	Administrative Support	Admin Supp: Receptionist	2
249108	Administrative Support	Admin Supp: Admin Aide	2
249108	Administrative Support	Admin Supp: Prop Tax Clerk	2
249108	Administrative Support	Admin Supp: Word Proc Op	3
249109	Administrative Support	Admin Supp: Secretary	3
249110	Administrative Support	Admin Supp: Clerk Supv.	3
249110	Administrative Support	Admin Supp: Prog. Asst.	3
249111	Administrative Support	Admin Supp: Office Supv.	3
311001	Food Service	Food Service Worker	1

311002	Food Service	Food Service Worker	2
313002	Food Service	Baker	2
315001	Food Service	Cook	2
319002	Food Service	Food Service Supervisor	4
319006	Food Service	Food Service Manager	6
355202	Health Care	Resident Care Aide	2
355203	Health Care	Resident Care Aide	2
359004	Cottage Life	Cottage Life Attendant	3
361101	Laundry Worker	Laundry Worker	1
372110	Corrections	Correctional Officer	3
372115	Corrections	Correctional Officer Supv.	5
372118	Corrections	Correctional Manger	6
373013	Wildland Fire Inv	Wildland Fire Inv	6
375002	Law Enforcement	Hwy Patrol Officer	5
375003	Law Enforcement	Hwy Patrol Sergeant	5
379021	Law Enforcement	F & G Warden	5
410001	Laboratory Animal	Lab Animal Caretaker	2
413001	Livestock Enforcement	Brand Inspector	2
413005	Livestock Enforcement	Brand Inspector Supv.	3
452010	Resource Management	Forest Technician	3
651011	Reprographics	Duplicating Press Oper.	3
651016	Reprographics	Duplicating Services Supv.	4
653012	Reprographics	Duplicating Serv. Worker	2
699005	Corrections	Industries Shop Supv.	5
726012	Electronic Equip Tech	Electronic Equip Tech	4
852011	Engineering Project	Engineering Project Tech	4
852013	Engineering Project	Engineering Project Tech	5
899001	Maintenance Worker	Maintenance Worker	3
899003	Maintenance Worker	Maintenance Worker	3
899004	Maintenance Worker	Maintenance Worker	4

Current Benchmarks Listed by Series Title

Class Code	Series Title	Benchmark Title	Factor Level
219003	Accounting	Accounting Clerk	2
160003	Accounting	Accounting Tech	3
160004	Accounting	Accounting Tech	4
160014	Accounting	Accountant	5
160018	Accounting	Accountant	7
160109	Accounting	Accounting/Fiscal Mgr	7
169313	Administrative Officer	Administrative Officer	5
169316	Administrative Officer	Administrative Officer	6
249106	Administrative Support	Admin Supp: Data Entry Op	1
249105	Administrative Support	Admin Supp: Office Clerk	1
249108	Administrative Support	Admin Supp: Admin Aide	2
249107	Administrative Support	Admin Supp: Admin Clerk	2
249108	Administrative Support	Admin Supp: Prop Tax Clerk	2
249107	Administrative Support	Admin Supp: Receptionist	2
249110	Administrative Support	Admin Supp: Clerk Supv.	3
249111	Administrative Support	Admin Supp: Office Supv.	3
249110	Administrative Support	Admin Supp: Prog. Asst.	3
249109	Administrative Support	Admin Supp: Secretary	3
249108	Administrative Support	Admin Supp: Word Proc Op	3
040071	Agricultural Specialist	Agricultural Specialist	5
040072	Agricultural Specialist	Agricultural Specialist	6
191044	Appraiser	Personal Prop Appraiser	3
191047	Appraiser	Agricultural/Res. Appraiser	4
191046	Appraiser	Residential Appraiser	4
191048	Appraiser	Commercial Appraiser	5
191039	Appraiser	Appraisal Specialist	6
160212	Auditor	Auditor	4
160214	Auditor	Auditor	6
160215	Auditor	Auditor	6
169181	Benefits Examiner	UI Benefits Examiner	5
169182	Benefits Examiner	UI Benefits Examiner	5
169107	Benefits Examiner	Workers Comp Benefit Exam	5
161005	Budget Analyst	Budget Analyst	6
188121	Business Development	Business Development Spec	6
188125	Business Development	Business Develop Manager	7
188123	Business Development	Business Develop Officer	7
188049	Career Exec Assignment	CEA	8
211002	Cashier	Cashier	2
168131	Child Support	Child Support Inv	5
168135	Child Support	Child Supp Reg. Supv.	6
160134	Collections	Collections Technician	4
168015	Compliance	Compliance Specialist	6
169204	Compliance	Securities Examiner	6

372110	Corrections	Correctional Officer	3
372115	Corrections	Correctional Officer Supv.	5
699005	Corrections	Industries Shop Supv.	5
372118	Corrections	Correctional Manger	6
359004	Cottage Life	Cottage Life Attendant	3
045019	Counselor	Employment Counselor	5
045075	Counselor	Substance Abuse Counselor	5
005022	Designer	Design Plan Tech	3
005024	Designer	Designer	5
005026	Designer	Designer	6
169019	Disability Claims Ex	Disability Claims Ex	5
169021	Disability Claims Ex	Disability Claims Ex	6
726012	Electronic Equip Tech	Electronic Equip Tech	4
195078	Eligibility Assistant	Eligibility Assistant	3
195081	Eligibility Examiner	Eligibility Examiner	4
205006	Employment Services	Employment Services Asst	2
166207	Employment Services	Emp. Services Supervisor	5
166204	Employment Services	Employment Services Spec	5
166214	Employment Services	Emp. Services Manager	6
166220	Employment Services	Employment Services Spec	6
005045	Engineering	Structural Engineer	6
005018	Engineering	Civil Engineer	7
005021	Engineering	Engineering Manager	7
005054	Engineering	Environmental Engineer	7
005037	Engineering	Water Res./Hydrolics Engr.	7
852011	Engineering Project	Engineering Project Tech	4
852013	Engineering Project	Engineering Project Tech	5
182016	Engineering Project	Engineering Project Manager	6
029114	Environmental Specialist	Air Quality Specialist	6
029415	Environmental Specialist	Environmental Impact Spec	6
029314	Environmental Specialist	Solid & Haz. Waste Spec	6
029315	Environmental Specialist	Solid & Haz Waste Spec	6
029214	Environmental Specialist	Water Quality Specialist	6
029215	Environmental Specialist	Water Quality Specialist	7
090004	Financial Aid	Financial Aid Spec	4
160092	Fiscal Specialist/Officer	Fiscal Officer	6
311001	Food Service	Food Service Worker	1
313002	Food Service	Baker	2
315001	Food Service	Cook	2
311002	Food Service	Food Service Worker	2
319002	Food Service	Food Service Supervisor	4
319006	Food Service	Food Service Manager	6
141110	Graphic Design	Graphic Design Tech	3
141113	Graphic Design	Graphic Design Spec	5
141114	Graphic Design	Graphic Design Supv.	5
188106	Health & Human Services	Human Services Specialist	6

188111	Health & Human Services	Human Services Manager	7
355202	Health Care	Resident Care Aide	2
355203	Health Care	Resident Care Aide	2
079002	Health Care	Licensed Practical Nurse	3
079028	Health Care	Habilitation Specialist	4
075010	Health Care	Registered Nurse	5
079011	Health Care	Recreation Therapist	6
075011	Health Care	Registered Nurse	6
169033	Hearings Officer/Related	Hearings Officer	6
165014	Information & Public Ed	Public Education Spec	5
165007	Information & Public Ed	Information Specialist	6
165017	Information & Public Ed	Public Education Spec	6
165008	Information & Public Ed	Information Specialist	7
213055	Information Systems	Info Systems Operator	4
020098	Information Systems	Info Systems Technician	4
020122	Information Systems	Info Systems Supp Spec	6
020122	Information Systems	Info Systems Supp Spec	6
020111	Information Systems	Programmer/Analyst	6
020124	Information Systems	Info Systems Supp Spec	7
410001	Laboratory Animal	Lab Animal Caretaker	2
049002	Laboratory Animal	Lab Animal Tech	5
029508	Laboratory Series	Lab Technician	2
022144	Laboratory Series	Chemist	6
078114	Laboratory Series	Clinical Lab Spec	6
041216	Laboratory Series	Forensic Toxicologist	7
361101	Laundry Worker	Laundry Worker	1
379021	Law Enforcement	F & G Warden	5
375002	Law Enforcement	Hwy Patrol Officer	5
375003	Law Enforcement	Hwy Patrol Sergeant	5
249023	Library, Recrd, & Archivist	Library Tech	3
100025	Library, Recrd, & Archivist	Librarian	5
100029	Library, Recrd, & Archivist	Library Manager	7
205010	Lic, Cert & Permit	Lic, Cert & Permit Clerk	2
169239	Lic, Cert & Permit	Lic, Cert & Permit Tech	3
169243	Lic, Cert & Permit	Lic, Cert & Permit Spec	4
413001	Livestock Enforcement	Brand Inspector	2
413005	Livestock Enforcement	Brand Inspector Supv.	3
168100	Livestock Enforcement	Livestock Investigator	5
899001	Maintenance Worker	Maintenance Worker	3
899003	Maintenance Worker	Maintenance Worker	3
899004	Maintenance Worker	Maintenance Worker	4
164002	MT Promotion Officer	MT Promotion Officer	6
164004	MT Promotion Officer	MT Promotion Officer	7
168103	Occ. Safety & Health	Occ Safety & Health Spec	5
215004	Payroll/Benefits	Payroll/Benefits Tech	3
215006	Payroll/Benefits	Payroll/Benefits Tech	4

166056	Personnel	Personnel Asst	4
166058	Personnel	Personnel Spec	5
166061	Personnel	Labor Relations Spec	6
166064	Personnel	Personnel Officer	6
166073	Personnel	Personnel Officer	7
195017	Probation and Parole	Probation and Parole Off	5
195018	Probation and Parole	Probation and Parole Off	5
195020	Probation and Parole	P & P Regional Supv.	6
162010	Purchasing and Supply	Purchasing and Supply Spec	5
162033	Purchasing and Supply	Purchasing Agent	6
040051	Reclamation Specialist	Reclamation Specialist	6
040054	Reclamation Specialist	Reclamation Program Supv.	7
653012	Reprographics	Duplicating Serv. Worker	2
651011	Reprographics	Duplicating Press Oper.	3
651016	Reprographics	Duplicating Services Supv.	4
452010	Resource Management	Forest Technician	3
040014	Resource Management	Forester	5
013019	Resource Management	Land Use Specialist	5
188072	Resource Management	Park Operations Spec	5
041057	Resource Management	Fish & Wildlife Biologist	6
040015	Resource Management	Forester	6
013010	Resource Management	Water Resource Reg. Mgr.	6
041058	Resource Management	Fish & Wildlife Biologist	7
040046	Resource Management	Resource Program Manager	7
195112	Social Worker & Related	Social Worker	5
195114	Social Worker & Related	Social Worker	6
195116	Social Worker & Related	Social Worker	6
020016	Statistics	Statistician	5
166010	Training and Development	Train & Development Specialist	6
373013	Wildland Fire Inv	Wildland Fire Inv	6

Current Benchmarks Listed by Factor Level

Class Code	Series Title	Benchmark Title	Factor Level
249105	Administrative Support	Admin Supp: Office Clerk	1
249106	Administrative Support	Admin Supp: Data Entry Op	1
311001	Food Service	Food Service Worker	1
361101	Laundry Worker	Laundry Worker	1
029508	Laboratory Series	Lab Technician	2
205006	Employment Services	Employment Services Asst	2
205010	Lic, Cert & Permit	Lic, Cert & Permit Clerk	2
211002	Cashier	Cashier	2
219003	Accounting	Accounting Clerk	2
249107	Administrative Support	Admin Supp: Admin Clerk	2
249107	Administrative Support	Admin Supp: Receptionist	2
249108	Administrative Support	Admin Supp: Admin Aide	2
249108	Administrative Support	Admin Supp: Prop Tax Clerk	2
311002	Food Service	Food Service Worker	2
313002	Food Service	Baker	2
315001	Food Service	Cook	2
355202	Health Care	Resident Care Aide	2
355203	Health Care	Resident Care Aide	2
410001	Laboratory Animal	Lab Animal Caretaker	2
413001	Livestock Enforcement	Brand Inspector	2
653012	Reprographics	Duplicating Service Worker	2
005022	Designer	Design Plan Tech	3
079002	Health Care	Licensed Practical Nurse	3
141110	Graphic Design	Graphic Design Tech	3
160003	Accounting	Accounting Tech	3
169239	Lic, Cert & Permit	Lic, Cert & Permit Tech	3
191044	Appraiser	Personal Prop Appraiser	3
195078	Eligibility Assistant	Eligibility Assistant	3
215004	Payroll/Benefits	Payroll/Benefits Tech	3
249023	Library, Recrd, & Archivist	Library Tech	3
249108	Administrative Support	Admin Supp: Word Proc Op	3
249109	Administrative Support	Admin Supp: Secretary	3
249110	Administrative Support	Admin Supp: Clerk Supv.	3
249110	Administrative Support	Admin Supp: Program Asst	3
249111	Administrative Support	Admin Supp: Office Supv.	3
359004	Cottage Life	Cottage Life Attendant	3
372110	Corrections	Correctional Officer	3
413005	Livestock Enforcement	Brand Inspector Supv.	3
452010	Resource Management	Forest Technician	3
651011	Reprographics	Duplicating Press Oper	3
899001	Maintenance Worker	Maintenance Worker	3
899003	Maintenance Worker	Maintenance Worker	3
020098	Information Systems	Info Systems Technician	4

079028	Health Care	Habilitation Specialist	4
090004	Financial Aid	Financial Aid Spec	4
160004	Accounting	Accounting Tech	4
160134	Collections	Collections Technician	4
160212	Auditor	Auditor	4
166056	Personnel	Personnel Asst	4
169243	Lic, Cert & Permit	Lic, Cert & Permit Spec	4
191046	Appraiser	Residential Appraiser	4
191047	Appraiser	Agricultural/Res. Appraiser	4
195081	Eligibility Examiner	Eligibility Examiner	4
213055	Information Systems	Info Systems Operator	4
215006	Payroll/Benefits	Payroll/Benefits Tech	4
319002	Food Service	Food Service Supervisor	4
651016	Reprographics	Duplicating Services Supv.	4
726012	Electronic Equip Tech	Electronic Equip Tech	4
852011	Engineering Project	Engineering Project Tech	4
899004	Maintenance Worker	Maintenance Worker	4
005024	Designer	Designer	5
013019	Resource Management	Land Use Specialist	5
020016	Statistics	Statistician	5
040014	Resource Management	Forester	5
040071	Agricultural Specialist	Agricultural Specialist	5
045019	Counselor	Employment Counselor	5
045075	Counselor	Substance Abuse Counselor	5
049002	Laboratory Animal	Lab Animal Tech	5
075010	Health Care	Registered Nurse	5
100025	Library, Recrd, & Archivist	Librarian	5
141113	Graphic Design	Graphic Design Spec	5
141114	Graphic Design	Graphic Design Supv.	5
160014	Accounting	Accountant	5
162010	Purchasing and Supply	Purchasing and Supply Spec	5
165014	Information & Public Ed	Public Education Spec	5
166058	Personnel	Personnel Spec	5
166204	Employment Services	Employment Services Spec	5
166207	Employment Services	Emp Services Supervisor	5
168100	Livestock Enforcement	Livestock Investigator	5
168103	Occ Safety & Health	Occ Safety & Health Spec	5
168131	Child Support	Child Support Inv	5
169019	Disability Claims Ex	Disability Claims Ex	5
169107	Benefits Examiner	Workers Comp Benefit Exam	5
169181	Benefits Examiner	UI Benefits Examiner	5
169182	Benefits Examiner	UI Benefits Examiner	5
169313	Administrative Officer	Administrative Officer	5
188072	Resource Management	Park Operations Spec	5
191048	Appraiser	Commercial Appraiser	5
195017	Probation and Parole	Probation and Parole Off	5

195018	Probation and Parole	Probation and Parole Off	5
195112	Social Worker & Related	Social Worker	5
372115	Corrections	Correctional Officer Supv.	5
375002	Law Enforcement	Hwy Patrol Officer	5
375003	Law Enforcement	Hwy Patrol Sergeant	5
379021	Law Enforcement	F & G Warden	5
699005	Corrections	Industries Shop Supv.	5
852013	Engineering Project	Engineering Project Tech	5
005026	Designer	Designer	6
500045	Engineering	Structural Engineer	6
130010	Resource Management	Water Resource Reg. Mgr.	6
020111	Information Systems	Programmer/Analyst	6
020122	Information Systems	Info Systems Supp Spec	6
020122	Information Systems	Info Systems Supp Spec	6
022144	Laboratory Series	Chemist	6
029114	Environmental Specialist	Air Quality Specialist	6
029214	Environmental Specialist	Water Quality Specialist	6
029314	Environmental Specialist	Solid & Haz Waste Spec	6
029315	Environmental Specialist	Solid & Haz Waste Spec	6
029415	Environmental Specialist	Environmental Impact Spec	6
040015	Resource Management	Forester	6
040051	Reclamation Specialist	Reclamation Specialist	6
040072	Agricultural Specialist	Agricultural Specialist	6
041057	Resource Management	Fish & Wildlife Biologist	6
075011	Health Care	Registered Nurse	6
078114	Laboratory Series	Clinical Lab Spec	6
079011	Health Care	Recreation Therapist	6
160092	Fiscal Specialist/Officer	Fiscal Officer	6
160214	Auditor	Auditor	6
160215	Auditor	Auditor	6
161005	Budget Analyst	Budget Analyst	6
162033	Purchasing and Supply	Purchasing Agent	6
164002	MT Promotion Officer	MT Promotion Officer	6
165007	Information & Public Ed	Information Specialist	6
165017	Information & Public Ed	Public Education Spec	6
166010	Training and Development	Train & Development Specialist	6
166061	Personnel	Labor Relations Spec	6
166064	Personnel	Personnel Officer	6
166214	Employment Services	Emp Services Manager	6
166220	Employment Services	Employment Services Spec	6
168015	Compliance	Compliance Specialist	6
168135	Child Support	Child Supp Reg. Supv.	6
169021	Disability Claims Ex	Disability Claims Ex	6
169033	Hearings Officer/Related	Hearings Officer	6
169204	Compliance	Securities Examiner	6
169316	Administrative Officer	Administrative Officer	6

182016	Engineering Project	Engineering Project Manager	6
188106	Health & Human Services	Human Services Specialist	6
188121	Business Development	Business Development Spec	6
191039	Appraiser	Appraisal Specialist	6
195020	Probation and Parole	P & P Regional Supv.	6
195114	Social Worker & Related	Social Worker	6
195116	Social Worker & Related	Social Worker	6
319006	Food Service	Food Service Manager	6
372118	Corrections	Correctional Manger	6
373013	Wildland Fire Inv	Wildland Fire Inv	6
005018	Engineering	Civil Engineer	7
005021	Engineering	Engineering Manager	7
005037	Engineering	Water Res./Hydrolics Engr	7
005054	Engineering	Environmental Engineer	7
020124	Information Systems	Info Systems Supp Spec	7
029215	Environmental Specialist	Water Quality Specialist	7
040046	Resource Management	Resource Program Manager	7
040054	Reclamation Specialist	Reclamation Program Supv.	7
041058	Resource Management	Fish & Wildlife Biologist	7
041216	Laboratory Series	Forensic Toxicologist	7
100029	Library, Recrd, & Archivist	Library Manager	7
160018	Accounting	Accountant	7
160109	Accounting	Accounting/Fiscal Mgr	7
164004	MT Promotion Officer	MT Promotion Officer	7
165008	Information & Public Ed	Information Specialist	7
166073	Personnel	Personnel Officer	7
188111	Health & Human Services	Human Services Manager	7
188123	Business Development	Business Develop Officer	7
188125	Business Development	Business Develop Manager	7
188049	Career Exec Assignment	CEA	8

